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PROTECTIVE FORCE PROGRAM MANUAL



U.S. DEPARTMENT OF ENERGY

Office of Security

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All Departmental Elements

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Office of Security

PROTECTIVE FORCE PROGRAM MANUAL

1. **PURPOSE.** This Manual provides detailed requirements to supplement DOE O 473.2, PROTECTIVE FORCE PROGRAM, which establishes the requirements and responsibilities for management and operation of the Department of Energy (DOE) Protective Force (PF) Program.
2. **DEVIATIONS.** Deviations from this Manual must be processed through procedures established in DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM.
3. **CONTACT.** Questions concerning this Manual should be directed to the Program Manager, Protection Program Operations, OSS, at (301) 903-5693. Questions concerning Chapter VIII, "Executive Protection Program," should be directed to the Executive Protection Program Manager, DOE Headquarters, at (202) 586-2134.
4. **IMPLEMENTATION.** The requirements of this Manual must be implemented as soon as possible, consistent with collective bargaining and similar agreements and contractual requirements. Implementation plans for any requirements that cannot be implemented within 6 months of the effective date of this Order or within existing resources must be developed by heads of Field Elements and submitted to the respective Lead Program Secretarial Office/Administrators, NNSA. Copies of these plans must be forwarded to the Office of Security and Emergency Operations, through the OSS.

BY ORDER OF THE SECRETARY OF ENERGY:



T.J. GLAUTHIER
Deputy Secretary

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CHAPTER I

PROTECTIVE FORCES MANAGEMENT

1. PLANS, POST AND GENERAL ORDERS, AND PROCEDURES.

- a. Development. Written plans, post orders (POs), general orders (GOs), and procedures covering protective force (PF) routine, emergency, and administrative duties; tactical deployment; and other operational requirements must be developed. Plans, POs, GOs, and procedures must be clear, concise, and current.
 - (1) Plans. Required protection strategies; tactical response options, actions, and times; and other applicable response requirements must be addressed in response plans. Required PF plans include the following, as a minimum:
 - (a) Security incident response plans, covering response requirements to security incidents; adversary intrusion of a facility/site; and defense against adversary use of weapons, explosives, and chemical/biological weapons (CBW), as described in the *Design Basis Threat for DOE Programs and Facilities (U)* [short title: *Design Basis Threat (DBT)*]. Security incident response plans must provide specific response direction and required actions to PF personnel for applicable containment, denial, recapture, recovery, and pursuit strategy requirements and to support interruption/neutralization operations before completion of adversary task times.
 - (b) Facility evacuation response plans, covering protection of security interests, employees, the public, and the environment during nuclear release incidents, adversary use of CBW, radiological/toxicological/industrial sabotage, and other site emergencies.
 - (c) Security contingency response plans, covering such areas as PF work stoppages and recall measures and required response actions of local, State, and Federal law enforcement agencies.
 - (d) Target folders, containing interagency compatible site descriptions and response planning documentation along with facility-specific information [i.e., engineering descriptions of buildings, entry/exit locations, response and observation positions, types and quantities of special nuclear material (SNM) or other attractive targets and their locations, critical paths, etc.] to assist the PF and outside law enforcement agencies in conducting interagency compatible tactical operations. Target folders must be developed by sites possessing Category I/II quantities of SNM

and/or significant radiological sabotage concern(s) using the format approved by the Director, Office of Safeguards and Security (OSS).

- (2) POs and GOs. PF responsibilities, assignments, and requirements involving the protection of safeguards and security (S&S) interests must be addressed in GOs and POs.
 - (a) POs must contain specific guidance for the operational requirements at a designated PF post. POs must be developed and in place for temporary posts for the duration of the time period the post is manned.
 - (b) GOs must contain guidance for PF personnel in the conduct of site- and facilitywide duties [e.g., visitor and access control, search requirements, escort procedures, communications, nonsecurity contingency response requirements (i.e., natural disasters, work stoppages), etc.].
 - (3) Procedures. Administrative, training, and other nonresponse-related operational requirements must be addressed in procedures.
- b. Availability. Plans, POs, GOs, and procedures must be readily available to the PF for reference and guidance purposes. Individual POs for designated fixed and mobile (vehicle) posts must be located at these posts. GOs and administrative procedures must be available in a central location for easy reference, except in the case of posts located in remote areas, which, at a minimum, must have GOs located at the post. Response plans must be located at central alarm stations (CASs), secondary alarm stations (SASs), and other tactical command locations to allow for ready reference by PF personnel tasked with coordinating response actions.
 - c. Review. Plans, POs, GOS, and procedures must be reviewed for currency any time response requirements, duties, or administrative requirements are changed, but a minimum of at least annually. The annual or special review for adequacy and currency must be documented to show the name of the reviewer and the date the review is completed. Any revisions or changes made to plans, POs, GOs, or procedures as a result of the review must be highlighted or marked in such a manner as to ensure PF personnel are aware of those revisions and changes.
 - d. Non-DOE Law Enforcement Agency Support. Plans requiring participation by local, State, and Federal law enforcement agencies (LEAs) in support of the site must be documented and coordinated by the local cognizant DOE authority for S&S. Where a Site Safeguards and Security Plan (SSSP) documents required LEA response support, a memorandum of understanding/ agreement (MOU/MOA) documenting the anticipated level and priority of support from each such agency must be completed, reviewed, and updated on an annual basis.

2. QUALIFICATION REQUIREMENTS.

a. Access Authorization.

- (1) PF personnel must possess access authorizations for the highest level of classified matter to which they have or potentially have access. Access authorizations must be accomplished in accordance with DOE O 472.1B, PERSONNEL SECURITY ACTIVITIES, and DOE M 472.1-1, PERSONNEL SECURITY PROGRAM MANUAL.
- (2) Security Police Officers (SPOs) must possess L or Q access authorizations.
- (3) Federal Officers (FOs), Special Agents (SAs), and SPOs who have access to nuclear weapons, nuclear test devices, or complete nuclear assemblies; Category I SNM and/or Category II quantities of SNM that may be credibly rolled up to a Category I quantity must possess Q access authorizations.

b. Medical, Physical Fitness, Firearms, and Training Standards.

- (1) Security Officers (SOs). SOs must meet the training, qualification, and medical standards of 10 Code of Federal Regulations (CFR) 1046, Physical Protection of Security Interests.
- (2) SPOs. SPOs, as applicable, must meet the medical, physical fitness, firearms, and training and qualification standards in 10 CFR 1046. Prior to initial assignment to independent duties, SPO candidates must be formally evaluated and certified in accordance with procedures based on site-specific requirements approved by the cognizant local DOE (including the National Nuclear Security Administration) authority for S&S, as applicable.
- (3) FOs/SAs. FOs/SAs must complete a formal training and qualification program prior to assignment to duties. The training program must be based on assigned functions. Firearms, physical fitness, and medical qualifications must meet DOE and/or Office of Personnel Management requirements for the position assignment.
- (4) Maintaining Physical Fitness Standards. PF personnel must maintain physical fitness standards. An FO/SA or SPO may be required to meet physical fitness qualification standards during a Headquarters or Field Element survey, review, audit, or other situation directed by the head of the DOE Element. Failure to meet the physical fitness standard will be treated as if the individual failed the first attempt during routine annual qualification. The requirements outlined in 10 CFR 1046 must be followed in the event of a failure.

- c. Special Skills Qualifications. Site-specific conditions may justify requirements for PF personnel to possess qualification for special skills [e.g., security helicopter operations, ascending and descending techniques, mechanical and explosive tactical entry techniques, CBW countermeasures, hostage negotiation, precision rifleman/forward observer team (PRFOT), communications or alarm station monitoring, etc.] Responsible managers must ensure that personnel assigned to these duties are trained, formally evaluated, and certified, if required, by an appropriate accrediting authority before performing those duties. Certifications required by specific job functions [e.g., a Federal Aviation Administration (FAA) license for pilots] must be kept current. The employing organization for each individual must maintain a record of qualification and/or certification.
- d. Firearms.
- (1) No person will be authorized to carry a firearm as a PF officer until the head of the DOE Element is assured that the individual is qualified in accordance with the firearms qualification standards established in DOE M 473.2-1, **FIREARMS QUALIFICATION COURSES**. When DOE firearms qualification courses do not exist or do not address site-specific deployment of issued firearms, site-specific supplemental qualification courses must be developed. These supplemental qualification courses must be approved by the cognizant local DOE authority for S&S, as applicable, and submitted to the Director, OSS, for review and approval.
 - (2) As a minimum, each FO/SA and SPO must meet the applicable firearms qualification standards every 6 months. Requalification must occur in the sixth month from the previous qualification. The requalification may be accomplished at any time during the requalification month. If an FO/SA or SPO does not requalify prior to or during the requalification month, the individual's authority to carry firearms and make arrests must be suspended until such time as requalification is completed. If requalification occurs prior to the requalification month, the next requalification must become due 6 months from the new month.
 - (3) PF personnel must maintain firearms proficiency on a continuing basis. An FO/SA or SPO may be required to demonstrate the ability to meet qualification standards during a Headquarters or Field Element survey, review, audit, or other situation directed by the head of a DOE Element. Failure to meet the performance standard will be treated as if the individual failed the first attempt during routine semiannual qualification. Procedures in paragraph (4)(d) below must be followed in the event of a failure.

- (4) Each FO/SA and SPO must qualify with each firearm reasonably expected to be used in his/her duty assignment on the qualification course indicated in DOE M 473.2-1 and any applicable approved site-specific supplemental qualification course.
- (a) Qualifications must be accomplished with the same type of firearm (model and associated features [i.e., caliber, sight system, stock/grip, sling, barrel length, etc.]) and ammunition (i.e., equivalent in trajectory and recoil) as used while on duty.
 - (b) Prior to any range activity, each FO/SA and SPO must be given a presentation on the basic principles of firearms safety. However, a firearms safety presentation is not required for each qualification course using the same firearm, after the initial safety presentation for that firearm.
 - (c) FOs/SAs and SPOs must be allowed up to two initial attempts to qualify semiannually. A Range Master or other person in charge of the range will declare to personnel on the firing line, "This is a qualifying run." Once this statement is made, any firearms activity will constitute a qualification attempt. The FO/SA or SPO must qualify during one of these attempts.
 - (d) Failure to qualify as set out in paragraph (4)(c) above will result in suspension of authority to carry firearms and make arrests. An FO or SPO then will enter a standardized, remedial firearms training program developed by the S&S Central Training Academy and approved by the Director, OSS. The SA then will enter a standardized, remedial firearms training program developed by the Transportation Safeguards Division (TSD) Training Academy and approved by the Director, TSD. The remedial firearms training program will include basic firearm manipulation skills, firearms safety, and necessary individual training to afford a reasonable opportunity to meet the firearms qualification standards.

1 Any FO/SA or SPO who, upon completion of the remedial training, fails to qualify after the two subsequent, additional attempts, will lose FO/SA or SPO status and the authority to carry firearms and make arrests. The total of initial requalification and remedial requalification attempts is up to, but not more than, four attempts.

2 Any person who requires remedial training on three consecutive semiannual qualification periods, with the same firearm on the same qualification course, will lose FO/SA or SPO status.

3 Loss of FO/SA or SPO status for either failure to meet qualification standards or excessive remedial requirements will result in the individual's removal from the FO/SA or SPO position. Site-specific procedures must be developed and approved by the cognizant local DOE authority for S&S, as applicable; or the Director, OSS, for Headquarters, to allow a single additional qualification attempt within 1 year of removal from status if the former FO or SPO presents evidence of outside training that indicates enhanced skill level. Site-specific procedures must be developed and approved by the Director, TSD, to allow a single additional qualification attempt within 1 year of removal from status if the former SA presents evidence of outside training that indicates enhanced skill level. Upon qualification in this final attempt, reinstatement may be effected where site-specific employment conditions, position availability, and procedures permit. Any subsequent application for rehire will require training as provided to any other initial applicant for an FO/SA or SPO position.

(e) The PF Range Master will designate in writing the firearms instructor(s) authorized to certify the validity of the scores achieved during qualification attempts.

(5) Responsible managers must require that PF organizations not firing individually issued firearms during qualification have written procedures authorizing the specific model and associated features of all firearms used during qualification. These procedures must be approved by the cognizant local DOE authority for S&S, as applicable.

(6) Ammunition listed in the DOE Standardized Ammunition Contract Guide must be used for training, duty, and qualification. Any ammunition not in the Guide must be approved by OSS prior to use.

e. Authority to Carry Firearms.

(1) The employing organization must maintain written documentation indicating each individual who is authorized to carry firearms and make arrests without warrant while engaged in the performance of official duties. Managers must

ensure armed individuals understand that deadly force means that force which a reasonable person would consider likely to cause death or serious bodily harm and that its use may be justified only under conditions of extreme necessity, when all lesser means have failed or cannot reasonably be employed.

- (2) Firearms instructors not currently assigned FO/SA or SPO duties may carry firearms in the performance of their instructional duties, if authorized by the cognizant local DOE authority for S&S, as applicable. These instructors must pass the firearms qualification courses for assigned firearms and the firearms that are the subject of instruction.

3. CREDENTIALS AND SHIELDS. Credentials and shields are issued to qualified DOE employees, FOs/SAs, and contractor PF personnel to provide for official identification and to indicate that the bearer has the authority to perform assigned official duties. Credentials and shields must be used only during the performance of official duties. The design of all S&S credentials and shields must be approved by OSS and, where applicable, the cognizant local DOE authority for S&S. DOE and contractor employees must provide support and assistance to DOE-credentialed personnel in the performance of their official duties.

- a. Types of Credentials and Shields.

- (1) Basic Security Credential. This credential is issued to those DOE and contractor employees whose official duties include conducting security interviews, investigations, inquiries, inspections, and/or surveys and is used as an official form of identification.
- (2) FO Credential with Shield. This credential is issued to DOE employees who require firearms/arrest authority (i.e., pursuant to section 161k of the Atomic Energy Act or section 661 of the DOE Organization Act) as an official function or duty. The shield is a metal, police-type badge that is issued for ready identification when conducting a Federal law enforcement function (e.g., making an arrest or conducting an investigation). Each shield must bear a serial number imprinted on its face. The credential must bear the shield number.
- (3) TSD Credential with Shield. This credential is issued to Albuquerque Operations Office, TSD nuclear materials courier special agents (SAs) who require firearms/arrest authority (i.e., pursuant to section 161k of the Atomic Energy Act) as an official function or duty. The shield is a metal, police-type badge that is issued for ready identification when operating in an official capacity (i.e., TSD SA function). Each shield must bear a serial number imprinted on its face. The credential must bear the shield number.

- (4) Strategic Petroleum Reserve (SPR) SPO Credential with Shield. This credential is issued to SPOs who require Federal firearms/arrest authority (i.e., pursuant to section 661 of the DOE Organization Act for protection of the SPR) as a primary function or duty. Where metal shields are issued by the employing organization, the shields must be numbered. Organizations with PFs wearing field-type uniforms may utilize cloth/embroidered-type shields on these uniforms. Shield design must be approved by the project manager, SPR Project Office, and the Director, OSS.
 - (5) SPO Credential with Shield. This credential is issued to DOE contractor SPOs who require Federal firearms/arrest authority, pursuant to section 161k of the Atomic Energy Act, as a primary function or duty. Where metal shields are issued by the employing organization, the shields must be numbered. Organizations with PFs wearing field-type uniforms may utilize cloth/embroidered-type shields on these uniforms. Shield design must be approved by the cognizant local DOE authority for S&S, and the Director, OSS.
 - (6) Technical Security Countermeasures (TSCM) Specialist Credential. This credential is issued to DOE contractor TSCM specialists who are certified by the Director, OSS, as qualified TSCM specialists and is used as an official form of identification when performing TSCM services. Each credential must bear a serial number, photo of the credentialed individual, and an expiration date.
- b. Issuance of Credentials and Shields. Prior to issuing a credential or credential with shield to an individual, the individual's fulfillment of any training and qualification requirements for the position or duties must be verified. Credentials and shields for individuals who fail to maintain relevant training and qualification requirements must be revoked and retrieved.
- c. Credential and Shield Issuance Authority.
- (1) The issuing authorities for the Basic Security Credential, the FO Credential with Shield, and the SPO Credential with Shield, are the Director, OSS; the Director, Headquarters Operations Division; and the S&S Directors of DOE Field Elements, for their respective organizations.
 - (2) The issuing authority for the TSD Credential with Shield is the Director, TSD.
 - (3) The issuing authority for the SPR SPO Credential with Shield is the local DOE Director of S&S.

- (4) The issuing authority for the TSCM Credential with Shield is the Director, OSS.
- d. Reissuing Credentials. If an employee experiences a significant change in facial appearance that could hinder positive identification or a name change, a credential with a new photograph must be requested by the individual, supervisor, security official, or PF personnel. Supervisors must report any employee exhibiting a significant change in facial appearance to the responsible security organization for a determination of the need for a new credential.
- e. Blank Credential Stocks and Unissued Shields.
 - (1) OSS must procure and maintain blank Basic Security, SPO Security, and TSCM Credentials and unissued FO shields. Requests for these blank credential stocks and unissued FO shields must be made in writing to OSS.
 - (2) The Director, TSD, must procure and maintain an inventory of TSD blank credentials and unissued SA shields.
 - (3) SPR project office authorities must maintain an inventory of SPR blank credentials.
 - (4) PF contractors must be required to procure and maintain a sufficient supply of unissued SPO shields.
- f. Termination of Use. DOE credentials and shields are the property of the Government and must be returned to the issuing office when an employee transfers, terminates, or otherwise no longer requires the credential or shield.
- g. Recovery of Security Credentials and Shields. DOE credentials and shields issued to DOE and contractor employees must be recovered at the final security checkpoint or earlier, and the individuals must be escorted from the site, if circumstances or conditions indicate such action is needed. Recovered credentials must be destroyed, unless being held as evidence in an ongoing security investigation. Recovered shields may be retained and reissued.
- h. Accountability of Credentials and Shields.
 - (1) Records. Issuing offices must maintain records showing the disposition of credentials and shields. Such records must include, as a minimum, description and serial number of item issued, date of issuance, name, organization, and date of destruction. Records will be maintained in accordance with the requirements of Schedule 18 of the General Records Schedule.

- (2) Lost Credentials and Shields. A record of missing credentials and shields must be maintained. Personnel and/or systems controlling access to security areas must be provided current information regarding missing credentials or shields in order to prevent their misuse. The loss or recovery of credentials or shields must be reported immediately to the issuing office.
 - i. Storage of Blank Security Credentials and Unissued Shields. Blank credentials and unissued shields must be stored in a manner assuring their protection against loss, theft, or unauthorized use.
4. ALLOCATION OF PERSONNEL RESOURCES.
- a. Location, Manning, and Scheduling. The location and manning of fixed and mobile posts must be determined using the DBT; local threat statements and vulnerability analyses; SSSPs; and appropriate DOE directives. PF personnel must be available and positioned to respond to a verified threat occurrence to deny, contain, interdict, interrupt, and/or neutralize threats within the required response times. When planning for response times, the delay provided by physical barriers after the initial detection of the intrusion must be considered. Work schedules for PF personnel must be developed and monitored on a site-specific basis to provide adequate relief, training time, balanced overtime, and sufficient time off to ensure on-duty personnel work at peak physical and mental effectiveness. PF work schedules must be based upon the following guidelines, where appropriate and consistent with existing collective bargaining agreements and contracts:
 - (1) No more than 12 total hours per work day, excluding shift change and equipment issues activities, should be scheduled.
 - (2) No more than 60 total hours per workweek should be scheduled.
 - b. Supervision. Supervision of PF personnel must be provided to the extent required to ensure proper and adequate performance of duties.
 - (1) Supervisory/Personnel Ratio. At sites where more than six PF personnel are assigned per shift, there must be full-time supervision.
 - (2) Other Supervision Means. Various means and devices, such as telephonic or radio contact or contact by another supervisor who is physically closer to the post, may be used as supplements to supervision or, in the case of small facilities or remote areas, to supplant supervision as a means of assuring that the necessary areas are patrolled and other functions are performed.

- (3) Post Inspections. Supervisors must physically inspect or contact by telephone or radio PF posts a minimum of once per shift to ensure post operations are being conducted per DOE and site requirements and procedures.

5. DOE AND CONTRACTOR PERSONNEL MANAGEMENT.

- a. Pre-Employment Screening. Screening must be conducted to select individuals with potential to meet qualifications for PF positions.
- b. Job Analyses. Job analyses, listing the common tasks required for PF assignments, must be prepared and reviewed annually for positions directly relating to protective operations. Job analyses must be used to prepare job descriptions and as basic input documents to local training requirements. Job analyses for those activities that have not been standardized and issued by the S&S CTA must be prepared to address site-specific requirements.
- c. Personnel Security Assurance Program. Managers of DOE Elements must identify positions that meet requirements of the Personnel Security Assurance Program in accordance with 10 CFR 710, Subpart B, Criteria and Procedures for Establishment of the Personnel Security Assurance Program and Determinations of an Individual's Eligibility for Access to a Personnel Security Assurance Program Position.
- d. Training. See 10 CFR 1046; DOE O 360.1, TRAINING; DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM; and Chapter IV of this Manual for requirements.
- e. Records. See 10 CFR 1046, the General Records Schedules (GRS), or the DOE Records Schedules (DOERS).
- f. Reporting Requirement. Supervisors in the PF command structure and the supervisor in charge of on-site PF operations must ensure that any suspected criminal violations are reported in accordance with DOE O 470.1; DOE M 471.2-1B, MANUAL FOR CLASSIFIED MATTER PROTECTION AND CONTROL; and, where appropriate, DOE O 232.1A, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION.
- g. Implementation. Contractors must be required to develop procedures, approved by the cognizant local DOE authority for S&S, as applicable; to implement paragraphs a and b above, based on internal organization (e.g., personnel, human resources, training, labor relations) and collective bargaining agreements in effect.

CHAPTER II

PROTECTIVE FORCE DUTIES

1. SOs.

- a. Assignments. SOs may be used to augment SPOs and/or to perform duties (e.g., administrative, access control, facility patrol, escort, assessment and reporting of alarms, etc.) where an armed PF presence is not required.
- b. Knowledge, Skills, and Abilities. Job analyses (JAs) for SO duty assignments must be completed and must be approved by the cognizant local DOE authority for S&S, as applicable; to determine the specific knowledge, skills, and abilities required to perform the duties of each SO job assignment. SO JA must be reviewed annually to ensure all knowledge, skills, and abilities are current and applicable for each specific SO job assignment. SOs must demonstrate familiarity with and knowledge of the responsibilities identified in job analyses and proficiency in the skills and abilities necessary to perform required job tasks, including but not limited to the following:
 - (1) Knowledge of the assigned site and routine patrol duty requirements, and ability to perform assigned duties (e.g., conducting physical checks of repositories containing classified matter; checking buildings and rooms to ensure that all classified matter is secure; and detecting and reporting indications of suspicious activity).
 - (2) Operation of assigned individual and post equipment and vehicles, as required by duty assignment.
 - (3) Operation of communication equipment reasonably expected to be employed within the duty assignment, including proficiency in the use of accepted communication terminology, acronyms, and phonetics, and the methods for verifying operator identity of incoming signals and signaling duress.
 - (4) Knowledge of and ability to apply DOE directives and site policies, plans, POs/GOs, and procedures governing the SO's role in site protection.
 - (5) Knowledge of any Federal and State granted authority applicable to assigned activities and relative responsibilities between the PF and outside law enforcement agencies.
 - (6) Knowledge of post or patrol operations, including, as appropriate:

- (a) access control systems, procedures, and operation including visitor and employee identification, badging, and passes, visitor logging procedures, and property identification;
- (b) prohibited article detection and handling requirements, including the operation of personnel-, vehicle-, and package-screening devices employed at duty posts;
- (c) inspection techniques for persons, packages, and vehicles;
- (d) implementation of procedures for personnel and vehicle escorts;
- (e) ability to implement plans, Orders, and procedures to protect the site during disruptive events (e.g., fire, industrial disorders, and civil disturbances);
- (f) knowledge and recognition of various types of S&S interests being protected, including the normal locations, routine uses, and movements of the interests through and/or at the duty post;
- (g) response to alarm annunciations and reporting of observations and assessments;
- (h) incident reporting;
- (i) methods of weaponless self-defense, as applicable to the assigned position;
- (j) awareness of the parameters of Weapons of Mass Destruction (WMD); and
- (k) use of assigned personal protective equipment (PPE).

2. SPOs. 10 CFR 1047, Limited Arrest Authority and Use of Force by Protective Force Officers, delineates SPO responsibility at DOE facilities other than the SPR to enforce specified laws regarding Government property and criminal provisions of the Atomic Energy Act. Such SPOs may, in accordance with 10 CFR 1047, be given additional local law enforcement responsibility on a site-specific basis. 10 CFR 1049, Limited Arrest Authority and Use of Force by Protective Force Officers of the SPR, delineates SPO responsibility at the SPR to enforce Federal criminal law to protect SPR Government property and personnel. SPOs must be required to possess the individual and team skills necessary to protect S&S interests from theft, sabotage, and other hostile acts that may cause adverse impacts on national security, the health and safety of employees, the public, or the environment.

- a. SPO Levels. SPOs are categorized according to a three-level system (SPO-I, -II, and -III) for tailoring training requirements to assigned duties. JAs for duty assignments must be completed and must be approved by the cognizant local DOE authority for S&S, as applicable; to determine the specific knowledge, skills, and abilities required to perform the duties of each SPO job assignment. SPO JAs must be reviewed annually to ensure all knowledge, skills, and abilities are current and applicable for each specific SPO job assignment. The following is a general description of the division of duties among the SPO levels.

(1) SPO-I.

- (a) Assignments: Fixed, armed posts with no external response requirement (e.g., access control points; CAS/SAS operation, towers, etc.).
- (b) Qualifications: DOE standardized SPO-I training and site-specific training as identified by the site-specific JA. Physical fitness standard of a one-half mile run in four minutes and 40 seconds and a 40 yard prone-to-running dash in 8.5 seconds. Firearms qualification standards, as applicable, in Chapter II, 2.d., of this Manual; and in DOE M 473.2-1.

(2) SPO-II.

- (a) Assignments: Armed posts that require response and assessment in support facility protection strategies.
- (b) Qualifications: DOE standardized SPO-I and -II training and site-specific training as identified by the site-specific JA. Physical fitness standard of a one mile run in eight minutes and 30 seconds and a 40 yard prone-to-running dash in eight seconds. Firearms qualification standards, as applicable, in Chapter II, 2.d., of this Manual; and in DOE M 473.2-1.

NOTE: Six months after the publication of this Manual, all SPO-II new hire personnel will be required to meet the SPO-II physical fitness standard in paragraph 2.a.(2)(b). Incumbent SPO-II personnel will be grand fathered regarding this requirement and will continue to maintain the physical fitness standard in paragraph 2.a.(1)(b). After the above six month time period, those SPO-I personnel that voluntarily change status to SPO-II status must meet the physical fitness standard in paragraph 2.a.(2)(b).

(3) SPO-III.

- (a) Assignments: Special Response Team (SRT) activities that include crisis entry; hostage rescue; recapture, recovery, and pursuit operations; force options; and other team tactical solutions to adversary activities.
- (b) Qualifications: DOE standardized SPO-I, applicable portions of standardized SPO-II, SPO-III training, and site-specific training as identified by the site-specific JA. Physical fitness standard of a one mile run in eight minutes and 30 seconds and a 40 yard prone-to-running dash in eight seconds. Firearms qualification standards, as applicable, in Chapter II, 2.d., of this Manual; and in DOE M 473.2-1.

NOTE: As of the date of publication of this Manual, incumbent SPO-III personnel reassigned to SPO-II duties will be required to maintain the physical fitness standards in paragraph 2.a.(1)(b).

- b. SPO I and II Knowledge, Skills, and Abilities. The requirements for each SPO to demonstrate familiarity and knowledge of the responsibilities identified in the applicable job analysis and proficiency in the individual and team knowledge, skills, and abilities necessary to perform the job tasks include, but are not limited to, those identified for SOs in paragraph 1 and the following:
 - (1) Knowledge and proficiency in the use and care of all weapons as required by duty assignment.
 - (2) Knowledge of and the ability to apply DOE and site requirements, plans, Orders, and procedures governing the SPOs's role in site protection.
 - (3) Knowledge of and the ability to apply DOE requirements on the use of deadly force and limited arrest authority in 10 CFR 1047 or 1049, as appropriate, and the fresh pursuit guidelines in Attachment 2.
 - (4) Knowledge of and proficiency in post and patrol operations including, as applicable:
 - (a) Requirements for, and ability to perform as escorts for, sensitive materials such as weapons, classified matter, and SNM.
 - (b) Response, utilizing individual and small unit/team techniques, to assessment and resolution of alarm annunciations and other indications

of intrusion and implementation of containment, denial, recapture, recovery, and pursuit strategies, where applicable.

- (c) Methods of self-defense, arrest, and detention.
 - (d) Procedures and requirements for investigations, search of persons and property for evidence and recognition, seizure, and preservation of evidence.
 - (e) Response to civil disturbances (e.g., work stoppages, demonstrations).
 - (f) Tactics necessary to engage and neutralize armed adversaries and familiarity with the probable nature of expected adversaries, the arms and equipment the adversaries are likely to possess, and other likely characteristics of importance to the engagement as defined in the DBT and any locally originated threat guidance.
 - (g) Familiarity and recognition of various forms and configurations of nuclear weapons, nuclear weapons components, and SNM being protected, including the normal location and movements of these S&S interests at and/or through the duty post.
 - (h) Actions required of first responders to WMD incidents.
- c. SPO-III Knowledge, Skills, and Abilities. The requirements for each SPO-III to demonstrate familiarity with and knowledge of the responsibilities identified in the applicable job analysis and proficiency in the skills and abilities necessary to perform the job tasks include, but are not limited to, those identified for SPOs in paragraph 2b and the following:
- (1) ability to act successfully as a member of an aggressive and ready mobile response team as dictated by site-specific vulnerability assessments, using force options and team techniques necessary for interdiction, interruption, neutralization operations; and containment, denial, recapture, recovery, and pursuit strategies directed against an adversary;
 - (2) ability to qualify with site-approved weapons, techniques, and equipment, which may be necessary either to protect the site or to effectively engage, neutralize, and/or pursue an adversary; and
 - (3) ability to operate from special tactical vehicles which may be necessary for the protection of a particular facility and/or site.

3. SPECIAL SKILLS.

- a. General. PF operations may require individuals with additional special skills, such as pilots, communications and alarm station operators, canine handlers, crisis negotiators, instructors, tactical entry (TE) specialists, and PRFOT personnel. The scope of such duties will be locally determined based on site-specific needs. Personnel assigned to such duties must be proficient in their performance.
- b. Crisis Negotiation Team (CNT). Each crisis negotiator must have successfully completed an S&S CTA or other DOE-approved crisis negotiation training. CNTs should be integrated into SRT exercises semiannually. Members of CNTs must be familiar with PF operations, including SRT tactics and operations, but do not need to be SPO-trained and certified.

4. SUPERVISORS. Each PF supervisor must possess the skills necessary to effectively direct the actions of assigned personnel to protect DOE S&S interests. Line supervisors of SPOs must be trained and qualified as SPOs. Line supervisors must meet applicable physical fitness qualification standards and certification standards for assigned response duties. Each supervisor must demonstrate familiarity with and knowledge of the responsibilities identified in the applicable JA and proficiency in the skills and abilities necessary to perform those jobs. These include, but are not limited to, the following:

- a. knowledge of the duties and qualifications of supervised personnel;
- b. familiarity with the basic operating functions of the facilities and the nature and location of S&S interests for which the supervisor has protection responsibilities;
- c. ability to ensure that subordinates and their equipment are physically capable and ready for duty and to conduct post inspections to ensure post operations are being conducted in accordance with DOE directives and site requirements and procedures; and
- d. knowledge of the duty logs and reports that must be completed, distributed, and acted upon.

5. INSTRUCTORS. Each instructor must possess the skills necessary to effectively instruct PF personnel in the requirements for protecting DOE S&S interests. Instructors must demonstrate knowledge of the responsibilities identified in the applicable job analysis, and proficiency in the skills and abilities necessary to perform those jobs. As applicable, these include, but are not limited to the following:

- a. knowledge of teaching methods and instructional techniques;

- b. knowledge of applicable assigned subject/topical areas for the level of instruction delivered;
- c. ability to develop course objectives, lesson plans, training aids, and student evaluations;
and
- d. skill in presenting a complete instructional lesson plan/course.

CHAPTER III

SPECIAL RESPONSE TEAM

1. **PROGRAM REQUIREMENTS.** The mission of a SRT is to resolve incidents that require force options that exceed the capability of SPO-I and -II personnel and/or existing physical security systems. SRTs must be capable of effective and ready response as dictated by site- or activity-specific vulnerability assessments. SRTs must be trained and equipped to conduct interdiction, interruption, neutralization operations; and containment, denial, recapture, recovery, and pursuit strategies directed against an adversary.
 - a. SRTs are required at facilities or sites that receive, use, transport, or process Category I quantities of SNM.
 - b. Authorization for an SRT capability at Departmental sites or facilities not meeting requirements in paragraph 1a, above, must be approved by the DOE site manager, with notification of such approval sent to the cognizant LPSO/Administrators, NNSA and for DOE HQ, the Director, OSA. Such requests must be based on a site vulnerability assessment demonstrating the need [e.g., a radiological/toxicological sabotage (RAD/TOX/SAB) target that could have adverse impact on national security, the health and safety of employees, the public, or the environment].
 - c. A DOE SRT must be staffed with currently DOE-certified SPO-III personnel.
2. **CONCEPT OF OPERATIONS.** An SRT must be capable of effective, aggressive, and timely resolution of adversary actions as established in the DBT using force options (including, but not limited to, open air, mobile, stronghold, and emergency assault using dynamic and covert techniques) and team techniques for interdiction, interruption, neutralization, containment, denial, recapture, recovery, and pursuit operations.
 - a. **Team Availability.** An SRT capability must be available on a continuous basis. The SRT may either be a full-time PF assigned unit, a PF unit constituted during an S&S incident, or be provided by a local, State, and/or Federal law enforcement agency.
 - b. **Plans.** SRT operations and tactical response must be integrated into the SSSP.
 - c. **Team Composition.** Sites or activities requiring an SRT must consider the functional capabilities listed below when developing and deploying an SRT. The specific SRT composition, positions, staffing levels, and functional capabilities must be dependent on the SSSP, site or facility mission, vulnerability analyses, protection strategies, and performance testing results.

- (1) assaulter,
 - (2) precision rifle/forward observer team member,
 - (3) TE specialist,
 - (4) assault leader, and
 - (5) team commander.
3. SPO-III SELECTION CRITERIA. SPO-Is and -IIs may volunteer and/or be selected for SRT duties; however, each individual must also meet selection criteria in order to be assigned as an SRT member. SRT members may be required to meet more or higher qualification standards than those required of SPO-Is and -IIs. Such standards must be in writing and approved by the cognizant local DOE authority for S&S, as applicable. Before being assigned to an SRT, SPO-III candidates must meet the following minimum standards:
 - a. be trained and qualified in those SPO-I and -II job tasks identified in the site-approved training program;
 - b. be formally evaluated by site PF management as having the potential to successfully accomplish SPO-III duties and SRT missions;
 - c. be capable of performing the duties and completing the training requirements as specified in Chapter II, paragraph 2c and Chapter IV, paragraph 5;
 - d. be capable of maintaining the offensive combative standard in 10 CFR 1046;
 - e. successfully complete the DOE SPO-III Basic Qualification Course (BQC), as approved by the OSS; and
 - f. successfully complete any additional site-specific training and qualification that may be required for job performance at a specific site or facility, which is beyond the scope of initial SPO-III training.
4. TRAINING. The formal training program for SPO-IIIs must be in compliance with Chapter IV.
5. EQUIPMENT. SRT equipment requirements are delineated in Chapter VI.
6. PROGRAM CERTIFICATION/RECERTIFICATION. SRT programs must be certified/recertified annually by the cognizant local DOE authority for S&S, as applicable. An SRT program is considered certified/recertified when the site has completed validation of the following:

- a. all assigned SRT members have met the requirements of Chapter IV, paragraphs 4 through 6;
 - b. the cognizant local DOE authority for S&S, as applicable, has determined that the site SRT program is in compliance with this Manual; and forwarded documentation of the satisfactory completion of site certification/recertification to the cognizant LPSO/Administrators, NNSA, or for DOE HQ, the Director, OSS.
7. USE OF LAW ENFORCEMENT AGENCIES. A local, State, and/or Federal law enforcement agency may be used to meet the intent of this chapter when that agency successfully meets both site-specific and DOE training and certification requirements contained herein (or equivalent law enforcement training and certification); the agency has been integrated into the SSSP; the agency's capabilities have been validated through performance testing; and the cognizant local DOE authority for S&S, as applicable; or for DOE HQ, the Director, OSS, has determined that these requirements have been met. The local DOE authority for S&S, as applicable, must ensure that a vulnerability analysis and an annual integrated PF/law enforcement agency force-on-force exercise are conducted to determine the augmenting law enforcement agency's response requirements and its continued ability and capability to respond to threats.

CHAPTER IV

TRAINING AND QUALIFICATION

1. PURPOSE. The overall objective of the formal PF training and qualification program is to develop and maintain, in an effective and efficient manner, the competencies needed by PF personnel to perform the tasks required to fulfill the PF mission. The formal training program, as addressed in this chapter, includes all organized, documented training activities that are the responsibility of the designated training organization. This includes training activities conducted by supervisors, which are also developed and managed through the training organization.
2. TRAINING AND QUALIFICATION.
 - a. FOs/SAs. The cognizant local DOE authority for S&S, as applicable; responsible for Federal PF personnel must establish a formal training and qualification program to meet FO/SA qualification requirements based on assigned functions, DOE and/or Office of Personnel Management requirements for the position assignment, and this Manual. These requirements will ensure that FOs/SAs are competent to perform the tasks within their assigned responsibilities. The qualification requirements will be supported by a formal training program that develops and maintains the knowledge, skills, and abilities required to perform assigned tasks. The qualification and training programs will be based on criteria established by the S&S CTA as outlined in DOE O 470.1, Chapter III; DOE O 360.1A; and this Manual. Field Elements must establish additional FO/SA training criteria, as needed by site-specific requirements. DOE personnel responsible for training FO/SA personnel must prepare and annually review a JA detailing the required actions or functions for each specific job assignment. The JA must be used as a basic input document for local training requirements; approved by the cognizant local DOE authority for S&S, as applicable; and reviewed and updated as applicable, on an annual basis.
 - b. Contractor PF Personnel. Contractors responsible for contractor PF personnel must establish a formal qualification program to meet PF qualification requirements which ensure that PF members are competent to perform the tasks within their assigned responsibilities. The qualification requirements will be supported by a formal training program that develops and maintains the knowledge, skills, and abilities required to perform assigned tasks. The qualification and training programs will be based on criteria established by the S&S CTA as outlined in DOE O 470.1, Chapter III; this Manual; and 10 CFR 1046. Field Elements must establish additional PF training criteria as needed by site-specific requirements. Departmental contractors responsible for training PF personnel must prepare and annually review a JA detailing the required actions or functions for each specific job assignment. The JA must be used as a basic input document for local training requirements; approved by the cognizant local DOE authority for S&S, as applicable; and reviewed, and updated as applicable, on an annual basis.

- c. Program Requirements. The formal training and qualification program must—
- (1) be based on a valid and complete set of job tasks, with identified levels of skills and knowledge needed to perform the tasks;
 - (2) be aimed at achieving a well-defined, minimum level of competency required to perform each task acceptably;
 - (3) employ standardized lesson plans with clear performance objectives as a basis for instruction;
 - (4) include valid performance-based testing to determine and certify job readiness (i.e., qualification);
 - (5) be documented so that individual and overall training status is easily accessible [individual training records must be retained until 1 year after termination of the employee as a PF member, unless a longer retention period is specified by other requirements]; and
 - (6) take into account the learning characteristics and entry-level competencies of trainees.

3. SOs.

- a. Training Requirements. Prior to initial assignment to SO duty, each person must successfully complete the DOE Basic SO training program, as approved by the OSS. Additional site-specific training requirements may be included. Site-specific requirements must be based on a site-specific JA and include SO task areas found in Chapter II, paragraph 1, as appropriate. The site-specific JA and training requirements must be approved by the cognizant local DOE authority for S&S, as applicable. As applicable, the SO training program must include, but not necessarily be limited to, the following types of instruction:
- (1) orientation and standards of conduct;
 - (2) security education and operations, covering classified and sensitive information protection requirements, response to and reporting of incidents of security concern, and the protection of Government property;
 - (3) safety training;
 - (4) legal requirements and responsibilities;

- (5) weaponless self-defense;
- (6) intermediate force weapons;
- (7) communications, including methods and procedures;
- (8) vehicle operations, including safety and routine and emergency operation;
- (9) post and patrol operations, including site-specific plans, Orders, policies, and procedures;
- (10) nuclear material control and accountability;
- (11) awareness of the parameters of WMD incidents; and
- (12) donning and use of assigned PPE.

b. Refresher Training.

- (1) Formal Program. Except as stated in paragraph (3), below, each SO must successfully complete formal annual refresher training to maintain the minimum level of competency required for the successful performance of tasks associated with SO job responsibilities. The type and intensity of training must be based on a site-specific JA and approved by the cognizant local DOE authority for S&S, as applicable.
- (2) Remedial Training. Failure to achieve a minimum level of competency must result in the SO's placement in a formal remedial training program. The remedial training program must be tailored to provide the SO with the necessary training to afford a reasonable opportunity to meet the level of competency as determined by the JA. Failure to demonstrate competency at the completion of the remedial program must result in loss of SO status.
- (3) Training Exemption. Formal annual refresher training may be exempted when an SO satisfactorily demonstrates a knowledge, skill, or ability. Such exemption(s) must be documented.

4. SPOs.

- a. Training Requirements. Prior to initial assignment to duty, each SPO trainee must successfully complete the DOE basic SPO training program, as approved by the OSS. Additional site-specific training requirements must be included. Site-specific

requirements must be based on a site-specific JAs and must include SPO task areas found in Chapter II, paragraph 2b, as appropriate. The site-specific JA and training program must be approved by the cognizant local DOE authority for S&S, as applicable. As applicable, the SPO training program must include, but not necessarily be limited to, those types of instruction identified for SOs in paragraph 3a of this chapter and the following types of instruction:

- (1) firearms training, including safety, marksmanship, and manipulation skills with all weapons reasonably expected to be employed within SPO duty assignments;
- (2) orientation and standards of conduct;
- (3) physical fitness training;
- (4) facility operations familiarity;
- (5) nuclear material control and accountability;
- (6) safety training;
- (7) legal requirements and responsibilities, including use of deadly force; limited arrest authority (see 10 CFR 1047 and 1049); and fresh pursuit (see Attachment 2);
- (8) tactical training, including individual and appropriate team tactics and use of assigned tactical equipment;
- (9) weaponless self-defense and intermediate force weapons;
- (10) communications, including methods and procedures;
- (11) vehicle operations, including safety, routine, emergency, and pursuit operation;
- (12) post, patrol, and response operations, including site-specific protection strategies, plans, POs, GOs, policies, and procedures;
- (13) procedures and requirements for investigations, search of persons and property for evidence and recognition, seizure, and preservation of evidence;
- (14) the DBT and potential adversaries' characteristics, tactics, and motives; and
- (15) actions required of first responders to WMD incidents.

b. Refresher Training.

- (1) Formal Program. Except as stated in paragraph (3), below, each SPO must successfully complete formal annual refresher training to maintain the level of competency required for the successful performance of tasks associated with SPO job responsibilities. The type and intensity of training must be determined by a site-specific JA and approved by the cognizant local DOE authority for S&S, as applicable.
- (2) Remedial Training. Failure to achieve a minimum level of competency will result in the SPO's placement in a remedial training program. The remedial training program must be tailored to provide the SPO with the necessary training to afford a reasonable opportunity to meet the level of competency required by the JA. Failure to demonstrate competency at the completion of the remedial program must result in loss of SPO status.
- (3) Training Exemption. Except for firearms and physical fitness requirements and training in the areas of protection strategies, use of force, pursuit driving, individual and team tactics, and CBW; portions of formal annual refresher training may be exempted when a SPO satisfactorily demonstrates a knowledge, skill, or ability. Such exemption(s) must be documented.

5. SPO-IIIs.

a. Prerequisites. Before attending the DOE SPO-III BQC, each SPO must—

- (1) be trained and qualified in those SPO-I and -II job tasks identified in the site-approved training program;
- (2) successfully complete any and all SPO-II training and qualification that may be required for site-specific SPO-III job requirements;
- (3) successfully meet the offensive combative standard in 10 CFR 1046;
- (4) qualify with a minimum of 80 or 90 percent accuracy, as applicable, with all weapons reasonably expected to be used by a SPO-III on duty on the applicable DOE firearms qualification courses in DOE M 473.2-1, and where applicable, approved site-specific firearms qualification courses; and
- (5) successfully complete a site-specific tactical obstacle course.

- b. Training Requirements. Prior to initial assignment to duties as an SRT member, a SPO must successfully complete the DOE SPO-III BQC. Additional site-specific training requirements must be included and be based on a site-specific job analysis. The site-specific JA and training program must be approved by the cognizant local DOE authority for S&S, as applicable. As applicable, the SPO-III training program must include, but not necessarily be limited to, those types of instruction identified for SPO-Is and IIs in paragraph 4a of this chapter and the following types of instruction:
- (1) firearms training in the following areas: live-fire shooting-on-the-move techniques; one-hand handgun manipulation and malfunction clearing techniques; semi- and full-automatic fire with appropriate firearms (where applicable); individual and team tactics in a live-fire shoot house (LFSH); and qualification with assigned duty weapons;
 - (2) Close Quarters Battle (CQB) training, including live-fire team operations in stronghold and emergency assaults under both day and night conditions in an LFSH;
 - (3) small unit tactics, including team and individual movement techniques under both day and night conditions;
 - (4) mobile and open-air assaults, including live-fire team operations under both day and night conditions;
 - (5) tactical obstacle course that tests physical fitness and marksmanship skills,
 - (6) decisional shooting techniques, including shoot/no-shoot scenarios;
 - (7) training in the use and deployment of diversionary devices; and
 - (8) training and use of tactical equipment deployed in support of SRT operations [e.g., night vision devices (NVDs), range finders, global positioning systems, ladders, video systems, ascending/descending systems, etc.].
- c. Specialized Training. Team members may volunteer and/or be selected for the following specialized SPO-III duties for which the following minimum requirements must be met:
- (1) PRFOT Training. Prior to initial assignment to duty as a PRFOT member, each assigned SPO-III must successfully complete the DOE PRFOT training course, as approved by the OSS. Initially, and thereafter on a quarterly basis, each PRFOT member must participate in live- and dry-fire training. Live- and dry-

fire training must be integrated into and conducted in conjunction with SRT training via controlled use of force, tactical movement training, and night operations.

- (2) TE Specialist Training. Prior to initial assignment to TE Specialist duties, each SPO-III assigned must successfully complete the DOE Basic TE course, as approved by the OSS. Initially, and thereafter on a quarterly basis, each TE specialist must participate in TE training. This will include, as a minimum, mechanical entry techniques. When a site or facility vulnerability assessment, performance test, and/or SSSP dictate a recapture strategy and/or interdiction/neutralization operations requirements for which mechanical entry alone will not meet required response times, the site or facility must develop an explosive TE capability. Prior to conducting explosive TE operations, TE specialists must successfully complete an explosive TE course approved by the OSS.
- d. Maintenance Training. After assignment to duties as a member of an SRT, an SPO-III must, as a minimum, train semiannually in all of the following: decisional shooting, CQB, LFSH operations, tactical obstacle course, night operations, team tactical movement, and force options (i.e., open air, mobile, emergency, and stronghold assaults). Requirements for semiannual maintenance training may be satisfied through combined training of two or more of these areas.
- e. Refresher Training.
 - (1) Formal Program. Except as stated in paragraph (3), below, each SPO-III must successfully complete formal annual refresher training to maintain the minimum level of competency required for the successful performance of tasks associated with SPO-III job responsibilities and assigned special skills. The type and intensity of training must be based on a site-specific JA and approved by the cognizant local DOE authority for S&S, as applicable.
 - (2) Remedial Training. Failure to achieve a minimum level of competency must result in the SPO-III's placement in a formal remedial training program. The remedial training program must be tailored to provide the SPO-III with the necessary training to afford a reasonable opportunity to meet the level of competency determined by the JA. Failure to demonstrate competency at the completion of the remedial program must result in loss of SPO-III status.

- (3) Training Exemption. Except for firearms and physical fitness requirements, and training in the areas of protection strategies, force options, pursuit driving, individual and team tactics, special skills, CQB, and CBW, portions of formal annual refresher training may be exempted when a SPO-III satisfactorily demonstrates a knowledge, skill, or ability. Such exemption(s) must be documented.
 - f. Site SPO-III Training Certification. In order for a site to be authorized to conduct the DOE SPO-III BQC on-site, the CTA must determine and certify the site's capability to conduct the course while meeting applicable SPO-III training requirements. Such determination will be accomplished through the use of a standard evaluation system/format developed by the CTA. Such certification will be valid for a period of three years. Determination through various means (e.g., results of annual site SRT program certification/recertification reviews, annual and/or special S&S surveys/self-assessments activities, Office of Security Evaluations inspections) that the on-site SPO-III BQC does not meet requisite training requirements, must result in the cancellation of the authority to conduct the course until the site is found to be in compliance with the requirements.
6. WEAPONS QUALIFICATIONS. SPOs must qualify semiannually with all assigned weapons and special skills weapons (as designated by job assignment or SRT position) using the DOE daylight and reduced lighting qualification and other applicable (e.g., Shooting-on-the Move, LFSH, etc.) courses in DOE M 473.2-1. Where DOE firearms qualification courses do not exist or do not cover site-specific deployment of a weapons system (e.g., belt-fed machine gun, grenade launcher, aerial firing platform, etc.) site-specific supplemental qualification courses must be developed by the cognizant local DOE authority for S&S, as applicable; and submitted to the Director, OSS, for review and approval.
7. SPECIAL SKILLS. Personnel assigned specialized responsibilities outside the scope of normal SO, SPO, and SRT duties must successfully complete the appropriate basic, refresher, and periodic training. This training must be designed to enable the individual to achieve and maintain the minimum level of skill and knowledge needed to competently perform the tasks associated with the specialized job responsibilities, as well as maintain mandated certification, if applicable. Such personnel include, but are not limited to, flight crews, instructors, armorers, CAS operators, crisis negotiators, investigators, canine handlers, and law enforcement specialists. The scope of such duties and the type and intensity of such specialized training must be based on site-specific JA and needs and approved by the cognizant local DOE authority for S&S, as applicable. Where certification requirements for special skills positions have not been established by the S&S CTA, site-specific certification procedures must be approved by the cognizant local DOE authority for S&S, as applicable.

8. SUPERVISORS. PF personnel who are assigned supervisory responsibilities must successfully complete the appropriate basic and annual training necessary to achieve and maintain the minimum level of skill and knowledge to competently perform their supervisory responsibilities. The required tasks and minimum levels of competency must be based on a site-specific JA and the specialized task areas listed in Chapter II, paragraph 4.
9. INSTRUCTORS. All PF personnel assigned instructor duties must be currently certified to the level of training delivered.
 - a. Certification Requirements. At a minimum, the following PF instructor certification requirements must be met:
 - (1) Each instructor assigned to deliver PF training must successfully complete the DOE Basic Instructor Training Course, as approved by the OSS, or an equivalent OSS-recognized basic instructor course.
 - (2) Each instructor assigned to deliver PF firearms training must successfully complete the DOE Firearms Instructor Certification (FIC) Course, as approved by the OSS, for the level of firearms training delivered.
 - (3) Each instructor assigned to deliver the SPO-III BQC must successfully complete the DOE SPO-III Instructor Certification Course, as approved by the OSS, and any other OSS-approved courses for the level of instruction delivered (e.g., PRFOT Instructor and LFSH Instructor Certification Courses).
 - (4) To maintain certification, instructors must instruct in at least two classes or two course iterations, or a combination of both, per calendar year. Documentation of these yearly instructional activities must be maintained.
 - b. Recertification. The following minimum PF instructor recertification requirements must be met:
 - (1) PF contractor management or their designee must evaluate each PF instructor for competency at least once every 3 years.
 - (2) The instructor evaluation must consist of verification of:
 - (a) Instructor knowledge of:
 - 1 OSS-approved teaching methods and instructional techniques;

- 2 Applicable assigned subject/topical areas for the level of instruction delivered; and
3. Requirements for developing course objectives, lesson plans, training aids, and student evaluations.

(b) Skill in presenting a complete instructional lesson plan/course.

Note: Verification of compliance with the requirements in paragraphs (a) and (b) above must consist of observation of instructor performance during actual curriculum delivery or by performance testing activities.

(c) Verification of instructor attendance in at least one professional development course, approved by the cognizant local DOE authority for S&S, as applicable; in the instructor's respective subject matter area (e.g., factory firearms instructor, diversionary devices instructor, CBW instructor, etc.) during the 3-year period.

10. FIREARMS INSTRUCTORS. Prior to initial assignment to duty as a firearms instructor, all PF personnel must successfully complete the DOE basic FIC Course.

(1) Prerequisite Training. Prior to attending the FIC Course, PF personnel must do the following:

- (a) Successfully qualify with a 90 percent score on the DOE Daylight Handgun and Semi-Automatic Rifle Qualification Courses and provide documentation of successful qualification to the DOE S&S CTA;
- (b) Successfully complete all handgun and rifle Limited Scope Performance Tests (LSPTs) in the DOE FIREARMS QUALIFICATION COURSES SUPPLEMENT with 100 percent accuracy; and
- (c) Successfully complete the DOE Basic Instructor Training Course.

(2) Refresher Training. Each firearms instructor must successfully complete formal annual refresher training to maintain the minimum level of competency required for the successful performance of tasks associated with firearms instructor responsibilities. The type and intensity of training must be based on a site-specific JA and approved by the cognizant local DOE authority for S&S, as applicable.

(3) Recertification. The following minimum DOE Firearms Instructor recertification requirements must be met:

- (a) Pass a comprehensive, knowledge-based, site-specific evaluation on live-fire range operations annually.
 - (b) Complete limited scope performance tests (LSPTs) with a minimum score of 100% for each firearm system they instruct annually.
 - (c) Conduct at least one site specific safety briefing every 12 months.
 - (d) Qualify with a minimum score of 80% for each firearms system they instruct annually.
 - (e) Be assigned and conduct duties of either a lead instructor, line instructor, or range safety officer twice annually.
11. ARMORERS. All DOE sites with armed PF personnel, including the CTA, shall have (on-site, under contract off-site, or in association with another DOE site) an armorer with the knowledge, capability, and responsibility for inspecting, maintaining, and repairing all firearms available for use on the site.
- a. Certification. Prior to initial assignment to duty as a DOE Armorer:
 - (1) The DOE Armorer must successfully complete the DOE Basic Armorer Certification Course, as approved by the OSS.
 - (2) The DOE Armorer must successfully complete the DOE Advanced Armorer Certification Course, as approved by the OSS, for those advanced firearms available for use on the site.
 - (3) The DOE Armorer should successfully complete a factory armorer course for the specific weapons systems employed for site use, where available.
 - b. Recertification. The following minimum DOE Armorer recertification requirements must be met:
 - (1) The CTA must evaluate each armorer for competency and recertification at least once every 2 years.
 - (2) The evaluation must consist of verification of:
 - (a) Armorer knowledge of all firearms in inventory and available for use on the site, in the following areas:

- 1 Conducting firearms inspections;
- 2 Performing required firearms repairs;
- 3 Use of written procedures and technical specifications;
- 4 Updating of firearms maintenance records;
- 5 Maintaining firearms in a serviceably clean and good condition, free from unapproved modifications;
- 6 Use of proper tools necessary to perform required maintenance, repairs, and inspection duties;
- 7 Use of a proper tag-out system for firearms in need of repair, and proper segregation of tagged-out firearms; and
- 8 Adherence to separate storage requirements for live-firearms and ESS firearms.

Note: Verification of compliance with the requirements in paragraph (a) above must consist of observation of armorer performance during actual duties and/or by performance testing activities, and inspection of required armory firearms records and other applicable documentation.

- | (b) Armorer currency in factory requirements for the specific weapons systems available for use on site.
- c. Refresher Training. Each armorer must successfully complete formal refresher training, where applicable, to maintain the minimum level of competency required for the successful performance of tasks associated with site-specific armorer responsibilities. The type and intensity of training must be based on emerging and changing maintenance and repair technologies associated with site-specific employed firearms and developed, when applicable, by the CTA in conjunction with firearms factory guidelines. Refresher training may be conducted during the CTA armorer recertification and/or factory armorer recertification process.
12. FOs AND SAs. Federal personnel must be trained as FOs/SAs in accordance with the requirements established by DOE and/or the Office of Personnel Management. FO training must be consistent with standards established for SPOs.

13. TRAINING EXERCISES. Exercises of various types must be included in the training process for the purposes of achieving and maintaining skills and assessing individual and team competency levels. The types and frequency of training exercises must be approved by the cognizant local DOE authority for S&S, as applicable, and must be determined by the training needs analysis conducted as part of the training program. At a minimum, the following elements must be included in the training exercise program:
- a. Exercises involving each PF shift and each SRT shift must be conducted monthly. These exercises must be planned and conducted so as to provide site-specific training to the PF in the prevention of the successful completion of potential adversarial acts defined in the DBT and the approved site-threat statement.
 - b. The cognizant local DOE authority for S&S, as applicable; must request the Federal Bureau of Investigation (FBI), other Federal, State, and local law enforcement agencies that would assist the PF during a site security incident to participate in training exercises at least annually.
 - c. Reports of each training exercise, summarizing results and problems areas, must be prepared for management review and to aid in planning PF activities, developing corrective actions, and in the training needs analysis process.
 - d. Sites possessing Category I SNM, Category II SNM with potential roll-up to Category I, and RAD/TOX concerns must plan a force-on-force (FOF) training exercise involving a WMD scenario at least every 3 years. Where possible, this exercise should involve joint inter-agency national-level participation (e.g., the FBI, Federal Emergency Management Agency, state emergency management agencies, etc., as applicable.) The OSS will serve as the focal point for liaison with national level agencies to promote their participation.

CHAPTER V

SECURITY HELICOPTER FLIGHT OPERATIONS

1. PURPOSE. The primary purpose for security helicopter flight operations is to provide timely and effective response to a security incident. DOE security helicopters may be used for response force (i.e., PF, SRT, and Federal, State, and local law enforcement agency personnel) transport, command, control, communications, surveillance, and as a firing platform when required. This chapter addresses security helicopter program operational requirements and rules of engagement during use of security helicopters as firing platforms.
2. OPERATIONAL REQUIREMENTS.
 - a. General. Helicopters employed in support of security operations provide an airborne dimension to response force capabilities against a threat posed by adversaries who may attempt theft or sabotage of nuclear weapons or SNM, and/or sabotage vital facilities and equipment. The decision to use security helicopters is based on site-specific considerations with concurrence of the cognizant LPSO/Administrators, NNSA. Helicopter operations must be conducted in accordance with DOE O 440.2, AVIATION. Site-specific security helicopter operational mission requirements must be documented in a site-specific Aviation Implementation Plan (AIP). The AIP must be approved by the cognizant local DOE authority for S&S, as applicable.
 - b. Mission Readiness. To meet mission requirements, a security helicopter must be fully operational and ready to respond to a security emergency on notice with a 90 percent availability rate, excluding weather conditions.
 - c. Emergency Security Helicopter Operations. During a security incident, helicopters may be employed to transport, insert, and relocate response forces to and from the scene of a security incident or staging area, as directed by the senior on-scene commander and/or by standard operating procedure. Additional emergency response functions must be fully documented in a AIP and may include, but are not limited to, directed fire; command, control, communications, and surveillance; resupply; and support of facility/site protection strategies, including recapture, recovery, and fresh pursuit operations.
 - d. Routine Security Helicopter Operations. Routine helicopter operations may include the following:
 - (1) pilot proficiency, training, and testing program;

- (2) training for emergency response, tactical insertion of PF personnel, and observation and pursuit of airborne and ground intruders;
 - (3) site surveillance, search, and observation;
 - (4) transport of PF personnel;
 - (5) escort of convoys transporting SNM; and
 - (6) command, control, and communications of ground security activities in routine operations.
 - e. Special Use of Security Helicopters. Such use must be based upon site-specific mission requirements, which are approved by the local cognizant DOE authority for S&S, as applicable, and documented in a AIP.
3. USE OF HELICOPTERS AS FIRING PLATFORMS (RULES OF ENGAGEMENT). The primary purpose for employing helicopters to support security operations is to provide a rapid response capability for transporting and inserting PF personnel (i.e., an SRT) during a security incident. However, firing from a helicopter can be a viable and effective means of supporting security operations, and the AIP may incorporate aerial firing under the following conditions:
- a. Authority to include aerial firing in response plans must be granted only following development of site-specific rules of engagement which are consistent with DOE policy on the use of force.
 - b. Firing must be done only by specifically trained and qualified SRT personnel with weapons attached to a gun mount that provides field-of-fire limitations.
 - c. A Safety Analysis Review (SAR) of aerial firing must be completed. The SAR must be reviewed for currency any time aerial firing requirements are changed, but at a minimum of at least annually.
 - d. The cognizant Field Element safety officer must approve, in writing, the technical and operational procedures and SAR for aerial firing.
 - e. The cognizant local authority for DOE, as applicable, is the final approval authority at each site. Copies of the approved technical and operational procedures for aerial firing must be provided to the Senior DOE Aviation Management Official; the cognizant LPSO/Administrators, NNSA, and the Director, OSS.

- f. Site-specific aerial firing qualification and/or familiarization course(s) must be developed and submitted, through the cognizant local DOE authority for S&S, to the Director, OSS, for review and approval.

CHAPTER VI

EQUIPMENT AND FACILITIES

1. **EQUIPMENT.** PFs must be equipped to effectively, efficiently, and safely perform both routine and emergency duties. Equipment must be tailored to counter adversaries identified in the DBT and site-specific threat guidance or as specified in the SSSP. The equipment must provide the PF the ability to move in a tactically sound, safe, and timely manner and in sufficient number under all expected environmental conditions; transfer information between PF personnel; and detect the presence of adversaries under all environmental conditions. PF equipment must be available in sufficient quantities and properly maintained to support the PF mission.
 - a. **Uniforms.** Contractor PF personnel must be required to be distinctively uniformed while on duty and to be identified with their function by appropriate emblems or badges. The uniform must enhance efficient performance of both routine and emergency duties and must promote a professional image.
 - (1) SOs must wear uniforms that conform to site standards in respect to assigned duties and posts (e.g., SOs assigned to interior administrative posts may wear non-field-type uniforms, while SOs assigned to exterior posts may wear field-type uniforms).
 - (2) SPO and SRT uniforms must conform to site standards that enhance SPOs' abilities to respond to and resolve security incidents in an effective manner.
 - b. **Duty Equipment.** The equipment items to be issued PF personnel must be determined by assigned duties on a site-specific basis. At a minimum, the following duty equipment must be provided:
 - (1) **SOs.** Each SO must be assigned and required to carry while on duty a portable radio with carrier and a flashlight with carrier. The issuance of additional equipment, such as intermediate force weapons, must be determined by assigned duties on a site-specific basis.
 - (2) **SPOs.** Each SPO must be assigned and required to carry while on duty a handgun and ammunition, a holster (of a secure type), an ammunition carrying device of sufficient capacity, a portable radio with carrier; handcuffs with case or other restraining devices, an intermediate force weapon (with case, if applicable), and a flashlight with carrier. The issuance of any additional equipment items must be determined by assigned duties on a site-specific basis.

Equipment must be secured to the SPO so that it is easily accessible and does not hamper movement during emergencies.

- (3) SPO-IIIs. Each SPO-III must be assigned a handgun and ammunition; a holster (of a tactical type), an ammunition carrying device of sufficient capacity; fire resistant hood and gloves; a flashlight with carrier; goggles/eye protection; tactical boots; a CBW mask; handcuffs with case and/or other restraining devices; and equipment designed to accommodate the duty functions (e.g., tactical vests).
- (4) SRT Equipment. Equipment must be selected to facilitate the ability of the SRT to effectively, efficiently, and safely perform both normal and emergency response duties. In general, team equipment must be provided to facilitate and hasten a rapid response, be operable in all local weather conditions, allow for reliable communication and information transfer, and assist in the detection of adversaries under all light conditions. Site-specific equipment relevant to the accomplishment of site-specific mission requirements must also be made available. PRFOT members, TE specialists, SRT commanders, and assault leaders each may require additional specialized equipment to meet mission requirements. Sites must ensure that all necessary specialized individual and team equipment needs are met and maintained.
- (5) Alternative to Deadly Force. Armed PF personnel must be assigned equipment that provides an alternative (i.e., intermediate force), in the appropriate circumstances, to the use of deadly force (e.g., side-handle or collapsible baton, chemical agents, etc.).
- (6) Nonlethal Area Weapons. Nonlethal area weapons such as chemical agents, if available for PF use, must be of the type commensurate with the intended use and must not pose danger to personnel or facilities beyond that required for the success of the PF mission. Chemical agents must not be kept in active inventory past their expiration dates.
- (7) Personal Protective Armor. Personal protective armor must be readily available for SPO-II and -III personnel. Protective armor must be worn by SPOs or be stationed or positioned in such a manner that it may be quickly donned in support of response requirements without impact to response times. Protective armor for SPO-II personnel must provide at least Type III-A protection level, as established by National Institute of Justice (NIJ) Standard 0101.03 (4/87). Protective armor for SPO-III personnel must provide at least Type III protection level, as established by NIJ Standard 0101.03.

- (8) Tactical Vests. Tactical vests must be readily available for use by SRTs and other designated personnel. They must be designed to accommodate the duty functions of the wearer and enhance effectiveness.
- (9) Protective Masks. Protective masks must be available for SPO-I, -II, and -III personnel, and Special Agents, i.e., they must be carried by PF personnel or be stationed or positioned in such a manner that they may be quickly donned in support of response requirements without impact to response times.

Protective masks must be of a type that does not unduly hinder performance of emergency duties, including accurate firing of all assigned firearms, and must be individually fit-tested. They must be rated for nuclear/biological/chemical protection.

- (10) Chemical Protective Equipment. In order to ensure appropriate analysis and implementation, PF deployment and use of chemical protective equipment must be documented in the facility SSSP. The SSSP must document the rationale for equipment selection, deployment, and use of chemical protective equipment such that detection and response are addressed. PF procedures for the use of chemical protective equipment must be approved by the cognizant local authority for S&S, as applicable.

(11) Optical Devices.

(a) Corrective Lenses.

- 1 Eyeglasses worn by PF personnel must be of the safety glass type and meet ANZI Z87.1 standards.
- 2 SPOs whose uncorrected distant vision in the better eye is not at least 20/40 must carry an extra pair of eyeglasses or corrective lenses.

(b) Observation Devices. Binoculars must be available for PF use to permit observation and detection of unauthorized activity and to aid in the conduct of response operations during both day and night conditions. At those facilities possessing Category I and II SNM, night vision devices must be available for PF use to permit observation and detection of unauthorized activity and to aid in the conduct of response operations during reduced light conditions.

(c) Protective Mask Optical Inserts. PF personnel whose uncorrected distant vision in the better eye is not at least 20/40 must be provided with corrective lens inserts that can be accommodated by the issued mask.

(12) Batteries. A sufficient number of batteries for PF equipment (e.g., radios, hand-held metal and SNM transfriskers and monitors, flashlights, cameras, night vision devices) must be available and maintained in a charged condition to support routine, emergency, and response operations.

(13) Equipment Storage. Individual, special purpose, and duty equipment must be stored and/or carried so as to be readily available in sufficient numbers for use in its intended fashion according to approved PF response plans, POs, GOs,

and procedures. Adequate and secure storage space must be available for all individually carried equipment.

- (14) Equipment Maintenance. Equipment must be maintained in a serviceable condition, in keeping with generally accepted practices for the particular type of equipment. As appropriate, preventive maintenance must be conducted and records maintained.

- c. Firearms, Ammunition, Pyrotechnics, and Explosives. Firearms, ammunition, pyrotechnics, and explosives must be available in sufficient quantity to permit PFs to act according to response plans. Firearms, ammunition, and pyrotechnics, and explosives must be of a type suitable for the intended use, deployed in a manner commensurate with that use, and controlled in a manner consistent with DOE M 440.1-1, DOE EXPLOSIVES SAFETY MANUAL. The firearms, ammunition, pyrotechnics, and explosives used must pose the minimum danger to personnel, noncombatants, and facilities commensurate with success of the PF mission. Firearms, ammunition, pyrotechnics, and explosives must be carried and transported safely and securely. Any discharge of a firearm for other than training purposes must be reported in accordance with DOE M 232.1-1A, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION.

- (1) Operational Considerations.

- (a) General. Firearms must be in serviceable condition at all times. Semi-automatic pistols must be carried in the round in the chamber configuration. Other duty and auxiliary firearms configurations (loaded or unloaded) must be as specified by the cognizant local DOE authority for S&S.
- (b) Sights. All firearms with adjustable sights, which are not assigned to individuals, must have the sights set in a manner that ensures that PF personnel who may use these firearms know the point of impact and can make point-of-aim adjustments quickly and consistently to permit accurate initial fire. Verification of sight adjustment and bullet impact must be made at least semiannually. This must be accomplished by live fire or through the use of a sighting device that simulates bullet impact. Such sighting devices must be approved by the cognizant local DOE authority for S&S.
- (c) Spare Firearms. There must be a minimum of 10 percent spare firearms of each type of firearm deployed on site (e.g., duty, engagement simulations systems [ESS], training) to provide for the

replacement of malfunctioning firearms and to provide firearms to PF personnel responding according to approved site response and contingency plans.

- (d) ESS Firearms. All weapons/firearms used during ESS exercises and training activities must be permanently modified and dedicated for ESS use only. ESS weapons/firearms include multiple integrated laser engagement systems (MILES), dye-marking cartridge systems (DMC), blank-fire, and inert systems.
- (e) PF Firearms, Ammunition, and Explosives. Firearms, ammunition, and explosives used by PFs must be based on consideration of the DBT, assigned missions, the SSSP and vulnerability assessment, and approved by the cognizant local DOE authority for S&S. Use of explosives must be in accordance with DOE O 440.1A and DOE M 440.1-1. The types of diversionary pyrotechnics used must be approved by the Director, OSS.
- (f) Firearms Trigger Safety Locks.
 - 1 Trigger safety locks must be issued to any DOE or contractor employees issued firearms who, for any reason, are permitted to take the firearms off site and may not maintain continuous immediate possession or direct control of the firearms.
 - 2 A trigger safety lock must be used (installed and locked) any time a firearm is taken off site and leaves the immediate physical possession or immediate control of the individual to whom the firearm has been issued.
 - 3 Any firearm shipped or transported off site (e.g., Federal Express, in baggage that is to be checked, etc.) must be locked with a trigger safety lock or placed in a locked container. Firearms shipped by bulk must be secured in a locked or banded container. Those firearms not capable of firing live ammunition (i.e., ESS, including dedicated blank-fire, multiple integrated laser engagement systems, and dye-marking cartridge firearms) are not required to be individually locked with a trigger safety but must be secured in a locked or banded container.

(g) Firearms Modifications. Modifications to firearms must be conducted by a DOE-certified armorer.

1 Approved Modifications. Written approval must be requested and received from the cognizant local DOE authority for S&S before a DOE firearm (live-fire or ESS firearm) may be modified. Modifications on the DOE Firearms Modification List (FML), as approved by the OSS, may be conducted after the local DOE authority for S&S has granted approval.

2 Non-Approved Modifications. Requests for modifications not on the FML must be submitted in writing to the OSS with the following information:

- a a general description of the modification;
- b the purpose/objective of the modification;
- c a detailed, step-by-step description of the process to accomplish the modification, with mechanical and/or illustrative drawings;
- d a description of the post-modification testing to be conducted; and
- e the number of firearms to be modified.

The request will be forwarded to the CTA for review by its armorer section. The CTA will provide written comments and/or a recommendation to OSS and the applicable local DOE authority for S&S. Upon review and concurrence on the CTA's recommendation, the modification may be approved by the local DOE authority for S&S. Upon such approval, the modification must be submitted to the OSS for inclusion on the FML.

3 ESS Firearms Modifications. Firearms must not be routinely modified and transferred from ESS applications to live-fire use and back. If a factory "drop-in" kit is used to modify a firearm to be capable of using DMC, a DOE-certified armorer specifically trained in the installation of such a kit must conduct the modification. Dedicated ESS firearms must not be reactivated for live-fire usage without the approval of the local cognizant DOE authority for S&S.

- (2) Standardization of Firearms. Standardization of firearms is required to increase the efficiency of standard and centralized training and enhance inter site assistance in the event of a security incident or other situation requiring supplemental or replacement forces.

(a) Procurement of PF firearms must involve the following firearm systems:

- (1) Handgun: Glock Inc., Model 22, 40 caliber.
- (2) Duty Rifle: Military M-16 family of rifles.
- (3) Shotgun: Remington, Model 870, 12 gauge.
- (4) Precision Rifle: Remington, Model 700 Action.
- (5) 40mm Grenade Launcher: Military Model 203.
- (6) Belt-Fed Machine Guns: Fabrique National Model 240 and 249.

If the DOE is unable to obtain any needed firearms through interagency agreements pursuant to the Economy Act, the DOE will comply with the requirements of the Federal Acquisition Regulation (FAR) Subpart 6.3 in determining how to procure its firearms requirements.

- (b) Due to the multiple agencies and contracts involved in this centralized procurement effort, the OSS will provide liaison with DOE field organizations for acquisition of listed firearms. All Departmental elements which require any of the firearm types listed in paragraph c.(2)4a above, must coordinate procurement with the OSS. DOE field organizations must provide information regarding the type of firearm, number of items, delivery date and site point of contact to the OSS. Replacement of current inventories is intended to occur as current firearms become due for replacement. The standard list provides needed firearms capability for the majority of Departmental missions within site-specific conditions; however, operational, safety, or other requirements may dictate the need for an alternative firearm. Deviations from or additions to this list must be approved by the Director, SO, or the Director of Defense Nuclear Security, NNSA, as applicable. However, if the DOE/NNSA is unable to obtain any needed firearms through interagency agreements pursuant to the Economy Act, DOE will comply with the requirements of the FAR, Subpart 6.3, in determining how to procure its firearms requirements.

- (3) Storage of Firearms, Ammunition, Pyrotechnics, and Explosives. Firearms, ammunition, pyrotechnics, and explosives must be stored safely and under the direct control of PF personnel or controlled within established security areas. Alternatively, they may be stored in a vault-type room if an intrusion detection system is in use to detect a penetration into the area and the alarm response capability is such that unauthorized removal is unlikely.
- (a) Bulk Storage. Bulk quantities of ammunition, pyrotechnics, or explosives, which are not used on a routine basis and/or are stored for long periods of time, must be stored in facilities that meet design criteria specified in DOE M 440.1-1. These storage facilities must be located within a designated security area.
- (b) Storage Containers. Firearms, ammunition, pyrotechnics, and explosives must be stored in General Services Administration-approved firearms storage containers that are bolted or otherwise secured to the structure or under alarm coverage. Where the weight of the storage container would deter removal of the container, the requirement to bolt or secure is not applicable. Firearms not in such containers or under alarm coverage must be locked in racks, chained, or cabled to prevent easy, rapid, unauthorized removal.
- (c) Firearms Storage.
- 1 Whenever practical, firearms must be stored separately from explosives and 1,000 rounds or more of ammunition.
 - 2 Firearms not identified for duty or contingency use and having a valid justification for retention must be stored in a manner that will prevent deterioration due to environmental conditions.
 - 3 Off-site storage of firearms must be specified and authorized by the head of the Field Element.
 - 4 Dedicated ESS firearms must be stored separately from live firearms. Separate storage may be accomplished by placing live firearms and ESS firearms in separate, secured storage containers in the same location or by storing in separate locations.
- (d) Storage of Ammunition. Live ammunition and ESS-related ammunition (i.e., blank fire, DMC, dummy rounds, etc.) must be stored separately.

Separate storage may be accomplished by placing live and ESS ammunition in separate, secured storage containers in the same location or by storing in separate locations.

- (e) On-Post Firearms, Ammunition, Pyrotechnics, and Explosives. Auxiliary firearms, ammunition, pyrotechnics, and explosives that are maintained at posts for use during response to security incidents must be under the direct control of on-duty PF personnel. Firearms, ammunition, pyrotechnics, and explosives must be readily accessible to PF personnel and secured in such a manner that they are inaccessible to and cannot be removed by persons passing through, by, or in the post.
 - (f) Pre-positioned Pyrotechnics and Explosives. In support of PF response plans and strategies, limited quantities of pyrotechnics and explosives may be pre-positioned at approved locations (e.g., PF posts, response vehicles, etc.) other than bulk storage magazine areas. Pre-positioned pyrotechnics and explosives must be kept in their original containers, unless operational and response requirements dictate otherwise. These pyrotechnics and explosives must be readily accessible to authorized PF personnel and secured in such a manner that they are inaccessible to and cannot be removed by persons passing through, by, or in the post. PF personnel charged with the responsibility of employing and overseeing the storage of pyrotechnics and explosives must be trained in their use and storage, as required in DOE M 440.1-1.
- (3) Firearms and Ammunition Maintenance/Inspection. Firearms available for duty or contingency operations must be inspected by a DOE-certified armorer prior to initial use and at least twice a year thereafter to determine serviceability. Firearms must be cleaned and maintained in a manner that meets or exceeds the manufacturer's recommendations.
- (a) The trigger pull for firearms must be at least that specified by the manufacturer as the minimum for safe operation.
 - (b) Firearms maintenance checks must be documented.
 - (c) Stored firearms must be inspected prior to return to active inventory.
 - (d) Duty ammunition must be exchanged for fresh ammunition at least annually.

- (4) Pyrotechnics and Explosives Inspection. Pyrotechnics, explosives, and any associated equipment available for use during routine or contingency operations must be inspected by qualified PF personnel prior to each use and at least on a quarterly basis to ensure they are properly stored, stable, and within current shelf-life and use requirements. Inspections must follow applicable requirements in DOE M 440.1-1.
- (5) Inventory of Firearms, Ammunition, Pyrotechnics, and Explosives. Firearms, ammunition, pyrotechnics, and explosives inventories must be maintained that allow efficient and effective arming and training of on-duty PF personnel.
 - (a) Live-Firearms Inventory. Operational firearms inventories should be limited to the number of armed personnel issued that type of firearm and/or the number required for mounting in posts and vehicles, plus 10 percent to accommodate maintenance and contingency requirements. Due to the remote location of some training facilities, some site inventories may require live-fire weapons for training and qualification. Therefore, additional inventories of firearms may be maintained to support live firearms training activities. All issued firearms must be inventoried by a number count at the beginning of each shift. All firearms in storage must be inventoried by a number count on a weekly basis. An inventory of all firearms, listing the type of firearm, the manufacturer, and its serial number must be conducted on a monthly basis. Firearms that are not identified for duty or contingency use may be inventoried by container in the event a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.
 - (b) Dedicated ESS Firearms Inventory. Departmental safety instructions require that firearms used for ESS activities be permanently modified and not routinely transferred between live and non-lethal uses. Additional inventories of dedicated firearms may be maintained to support ESS training activities. (NOTE: The Glock Model 22 cannot be converted to DMC use; however, a handgun specifically designed for this purpose is available from Glock Incorporated.) An appropriate inventory of these firearms may also be purchased and maintained. Dedicated ESS firearms must be inventoried by a number count prior to and after each use. An inventory of dedicated ESS firearms, listing the type of firearm, the manufacturer, and its serial number must be conducted on a monthly basis. ESS firearms that are not in continual use may be inventoried by container in the event a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.

- (c) Ammunition, Pyrotechnics, and Explosives Inventory. The Department currently has a standardization program for ammunition that consists of a scheduled procurement coordinated by the CTA through the DOE Albuquerque Operations Office. This program will not be affected by the standardization of Departmental firearms. DOE facilities must continue to procure all duty and training ammunition included in the standard procurement through this program. Ammunition must be inventoried annually. Pyrotechnics and explosives must be inventoried on a monthly basis. Pre-positioned pyrotechnics and explosives must be inventoried by a number count at the beginning of each shift. Pyrotechnics and explosives stored in bulk, which are not identified for duty or contingency use, may be inventoried by container if a complete container inventory has been conducted previously and the container is secured by a serial-numbered security seal.
 - (d) Inventory Shortages. After conducting a preliminary inquiry involving an indication of an unaccounted for, missing, or stolen firearm, a significant quantity of ammunition (excess of 100 rounds), or any amount of pyrotechnics and explosives; PF management must immediately report such a shortage to the cognizant DOE authority for S&S, who must report to the OSS within 24 hours. The cognizant local DOE authority for S&S, as applicable, must then prepare and transmit an Occurrence Report in accordance with DOE M 232.1-1A.
- d. PF Vehicles.
 - (1) Type. PF vehicles must exhibit a degree of reliability commensurate with their intended function. Vehicles must enhance the efficiency, speed, and safety of both routine and emergency duties under all expected weather conditions. Vehicles must be of a type and size suitable for the intended use and, in the case of armored vehicles, offer assurance of continued operation and a safe level of protection to occupants under small arms fire, up to and including North Atlantic Treaty Organization 7.62 millimeter full-metal jacket. Vehicles must be distinctly marked and equipped with necessary emergency response equipment (e.g., external warning lights, sirens, radios, and spotlights).
 - (2) Maintenance. Vehicles must be maintained in serviceable condition, with preventive maintenance performed at intervals that meet or exceed the manufacturer recommendations. Vehicle maintenance records must be maintained as long as the vehicle is used to support the PF mission.

- (3) Inspection. PF vehicles in use must be inspected at the beginning of each shift to ensure they are in safe, operating condition. At a minimum, the following areas must be inspected and found to meet safe operating requirements [i.e., horn, tires, lights (including emergency response lights, when applicable), and brakes (including parking brake)].

e. Communications Equipment.

- (1) Basic Requirements. PF communications equipment must provide multichannel capability with clear transmissions. It must also exhibit the necessary degree of reliability commensurate with its intended use. Communications equipment must be readily available in sufficient numbers to equip PF personnel. Duress alarms must be provided at all PF posts. Duress alarm requirements may be met through the use of either portable radios equipped with duress capabilities or fixed duress systems.
- (2) Special Requirements.
 - (a) Facilities Containing Category I or II Quantities of SNM. Fixed PF posts at such facilities must have both normal telephone service and two-way radio communication with the CAS/SAS, as well as points from which backup forces may be dispatched. Administrative controls must be established to ensure proper use of this system in an emergency.
 - (b) SRTs. SRTs must be equipped with digital encryption two-way radio communication. Dedicated channels for SRT operations must include separate SRT elements (e.g., tactical operations center, crisis negotiations, PRFOT channels, etc.).
 - (c) Tests. Daily tests of PF communication systems must be conducted. If equipped with duress capabilities, the duress system must be tested weekly. Fixed duress systems must also be tested weekly.

2. FACILITIES.

- a. Permanent PF Posts. Permanent (routine and emergency duty) PF posts that control access to areas containing nuclear weapons, nuclear test devices, complete nuclear assemblies, or Category I or II quantities of SNM must meet the following requirements:

- (1) Location. The posts must be located so that the efficiency of routine duties is enhanced, the likely routes of adversary ingress and egress are clearly observable, and protected routes or methods of approach are available to PF personnel.
 - (2) Human Factors Requirements. The posts must provide adequate human engineering so that PF personnel occupying the posts can perform their duties efficiently. Routine duty fixed posts must provide occupants with adequate protection from weather and temperature variations and facilities to meet PF personal hygiene needs. Supervisors must ensure PF personnel assigned to fixed posts without personal hygiene facilities are provided regular opportunities for relief from post duties to visit such facilities at another location.
 - (3) Exterior Construction. Exterior walls, windows, and doors must be constructed of, or reinforced with, materials that have a bullet-penetration resistance equivalent to the “high-power rifle” rating given in Underwriter Laboratories Standard 752, “Bullet-Resisting Equipment.”
 - (4) Lighting. Lighting must be capable of providing a minimum of 2 foot-candles luminescence at ground level for at least a 30-foot diameter circle around the post and 0.2 foot-candles for at least 150 feet in all directions.
 - (5) Vehicular Access Control. Where automated gates are used to control vehicular access to a security area, the gates and openings must be constructed to permit gate operation from inside the post.
- b. Training Facilities. Managers of sites/facilities with PF program requirements must ensure that training facilities are sufficient to conduct realistic PF training and qualification programs in a safe manner, as required in DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES. This includes facilities for SPO-I, -II, and -III and FO/SA (where applicable) weapons and physical fitness training and qualifications and maintenance, special skills, and site-specific training and qualifications. The use of local, State, and Federal law enforcement agency and Department of Defense/National Guard training facilities is an acceptable alternative to DOE-owned facilities; as long as required DOE certifications and safety requirements in DOE O 440.1A and DOE-STD-1091-96 are maintained. An MOU/MOA delineating such use must be completed by the appropriate cognizant local DOE authority for S&S, as applicable, and approved by the head of the Field Element.

CHAPTER VII

PERFORMANCE TESTING

1. PERFORMANCE TESTS (PTs). PTs must be used to realistically evaluate, and verify the effectiveness of PF programs; identify needed training and provide training for personnel; identify areas requiring system improvements; validate implemented improvements; and motivate PF personnel. Such tests must adhere to the requirements found in Chapter III of DOE O 470.1 and in this chapter. All major functions of the PF must be tested. The following are the major types of PF PTs:
 - a. LSPT. LSPTs may be either scheduled or unannounced. They must be used to determine the level of PF skill or capability in the area tested or to verify different aspects of the PF program. LSPTs must be conducted to realistically test any operation or procedure, verify a policy requirement, or verify possession of a requisite knowledge or skill to perform a specific task that falls within the scope of PF responsibility. The tests may involve large numbers of PF personnel working together, or they may involve only an individual or small team. When individuals or small teams are tested, repetitions of the test may be conducted with each individual or team. Examples of these tests include individual and team tactical movement, defensive and offensive positioning, arrest and control techniques, building clearing, handling civil disturbances, containment operations, command and control activities, or any individual components of these activities. Any element of PF responsibility, as determined by site procedures and job task analysis, may be tested. LSPTs may involve the use of dedicated ESS (MILES, DMC, blank-fire, or inert systems), and such use must meet the operational and safety requirements involving the conduct of FOF exercises in paragraph 1c, below, where applicable.
 - b. Alarm Response and Assessment Performance Test (ARAPT). An ARAPT is conducted with no prior notice to evaluate on-duty PF response to a specific location under S&S alarm protection. ARAPT scenarios must be based on simulated adversary actions consistent with the DBT and site-specific vulnerability assessments. The purpose of these tests is to evaluate PF readiness and response to alarm conditions. These tests must take into consideration all aspects of PF response, including communications, personal protective measures, equipment availability and serviceability, and any PF and facility coordination activities that may be necessary for effective mitigation of a security incident. ARAPT must be coordinated with facility representatives and trusted agents to ensure that safety requirements are fulfilled, security is not compromised, and operational disruption is minimized. Upon commencement of an ARAPT, responding PF personnel must be advised of the test. Handguns must not be unholstered and auxiliary weapons must not have a round chambered.

- c. FOF Exercise. A FOF exercise is a major test of the overall effectiveness of all elements involved in response to a DBT and site-specific threats. FOF exercises must be held at all facilities meeting the requirements in DOE O 473.2, paragraph 4e. FOF scenarios must include the parameters of the various adversary weapons, equipment, and methodologies postulated in the DBT. Scenario content must be controlled on a strictly need-to-know basis to foster realistic exercise activities and evaluation. Exercises must be planned, announced in advance to all participating parties, and conducted during specified time periods. Personnel must be designated and briefed in advance to act as adversaries. All weapons used by exercise participants must be dedicated ESS weapons. For this reason, when an exercise involves an operating facility as opposed to a test area, a “shadow force” of PF personnel must be deployed for protection of the S&S interests. Interface procedures, including rules of conduct for all participants, controller actions, exercise boundaries, and off-limit areas, must be developed. Procedures for communication between the simulated and shadow forces must be developed to ensure no compromise of S&S during the exercise. All exercise participants, controllers, and the shadow force must be briefed on the interface and communication procedures.
- d. Command Post Exercise (CPX). A CPX is conducted to observe and evaluate a crisis management team’s overall handling of a simulated safeguards and/or security or a natural disaster incident. A CPX may involve a local Emergency Operations Center (EOC) or multiple centers, including the DOE Headquarters EOC. CPXs may be either announced or unannounced and may vary in scope and time as dictated by the purpose of the exercise. A security-related CPX must be based on the DBT and the site-specific threat. The CPX must be used to evaluate both tactical and technical assessments and decisions. Lines of authority, the interrelationship of various organizational components in crisis mitigation, and the timeliness of reporting and decision making will be considered in the overall evaluation. Facility and equipment availability must also be evaluated.
- e. Command Field Exercise (CFX). A CFX is an extension of a CPX and is conducted to test the interrelationship of site management in directing the tactical engagement of a PF to a simulated incident. Procedures, tactical intelligence, communications, logistics, and the interfaces between field and site support systems are the focus of a CFX. Such exercises must be planned and announced in advance to all participating personnel. They may be combined with FOF exercises.
- f. Joint Training Exercise (JTX). When site or facility vulnerability analysis and performance testing indicate a need for outside agency support for the successful mitigation of an S&S incident, and such support is properly documented in the SSSP, the support expected from outside agencies must be covered by a formal, written MOU/MOA. A site must conduct an annual JTX consisting of a FOF exercise with

these agencies to determine the agencies' abilities and capabilities to respond to site threats, as documented in the SSSP. The frequency of testing outside resources beyond the annual FOF exercise requirement must be based on the degree of support anticipated and approved by the cognizant local DOE authority for S&S, as applicable.

2. PT PLAN AND REPORT REQUIREMENTS. A written test plan and an after-action report must be prepared to document PF performance testing activities. Both must be reviewed for classification purposes.
 - a. The PT Plan must address, as applicable:
 - (1) The specific element of the PF being tested;
 - (2) The objective of the test;
 - (3) Specific, applicable pass/fail criteria;
 - (4) Specific and general safety considerations (general considerations may be satisfied by referring to approved performance test procedures discussed in paragraph 3, below); and
 - (5) Specific S&S considerations.
 - b. The PT Report must address, as applicable:
 - (1) Detailed results of the exercise, including a pass/fail determination;
 - (2) Lessons learned; and
 - (3) Required corrective actions and/or mitigation factors to address identified vulnerabilities.
3. SAFETY. PF PTs must be conducted with the highest regard for the safety and health of personnel, protection of the environment, and protection of Government property. Specific safety considerations and requirements for conducting PF PTs are found in DOE STD-1091-96, *Firearms Safety*. Site-specific procedures addressing the conduct of PTs, the use of ESS, and safety considerations, must be prepared by PF management and submitted to the cognizant local DOE authority for S&S, as applicable; for review and approval and incorporated into the site Performance Assurance Program.

4. COORDINATION. When a CPX or CFX involves a demonstration of site-level emergency response capabilities, the development and conduct of the exercise must be coordinated with the appropriate site-level emergency management organizations.
5. TESTING FREQUENCY. Performance testing must be conducted as stated in Table VII-1.

NOTE: Annual requirements for FOF, CPX, CFX, and JTX exercises may be combined where determined appropriate in SSSPs. Requirements for ARAPTs may be satisfied through combined testing of multiple alarms in the same or proximate location(s) and required monthly PF shift and SPO-III shift training exercises.

Table VII-1. Testing Frequency.

Type of Performance Test	Minimum Performance Test Frequency
LSPT	As required
ARAPT	1/quarter/alarmed location
FOF	1/year/facility
CPX	1/year/site
CFX	1/year/site
JTX	As required per SSSP, 1/year/site as applicable (See Chapter IV, paragraph 13d and paragraph 1f of this chapter.)

CHAPTER VIII

EXECUTIVE PROTECTION PROGRAM

1. **PURPOSE.** The purpose of the DOE Executive Protection Program (EPP) is to prevent intentional or unintentional injury to the Secretary of Energy and, when designated by the Secretary, the Deputy Secretary of Energy.
2. **SCOPE.** Measures, including the use of armed PF personnel, may be provided for the protection of the Secretary and/or Deputy Secretary within or outside the United States. The Secretary must determine the extent and nature of any protection measures to be performed. Executive protection operations and services will not be provided to the Secretary and/or Deputy Secretary without the knowledge and specific approval of the Secretary.
3. **REQUIREMENTS.**
 - a. Requests for executive protection operations and services will be submitted in writing to the EPP manager, DOE Headquarters, at least 10 working days prior to implementation. When there is less than 10 working days notice of impending travel by the Secretary or Deputy Secretary, requests for executive protection must be submitted as soon as possible. The request must include:
 - (1) a description of known or potential threats and
 - (2) the nature, extent, and duration of proposed executive protection activities to be conducted.
 - b. The EPP manager must forward recommendations for protection measures to the Secretary, or the Secretary's designated representative, for approval.
 - c. Executive protection operations and services must be conducted by PF personnel approved by the EPP manager and trained for this activity.
 - d. Only those DOE personnel who have been deputized as U.S. Marshals by the U.S. Marshals Service are authorized to carry firearms in support of an executive protection operation within the United States and its possessions.
 - e. Approval for selected executive protection personnel to bear arms in a foreign country must be obtained from the foreign government by the EPP manager through the appropriate Department of State Regional Security Officer.

ATTACHMENT 1

REFERENCES

1. Title 18 United States Code (U.S.C.), relating to—
 - a. Espionage (sections 792 to 798);
 - b. Treason and subversive activity (sections 2381 to 2385);
 - c. Sabotage (sections 2151 and 2153 to 2156);
 - d. Theft or destruction of Government property (sections 33, 81, 641, 659, 831, 844, 1361 to 1363, 1366, 2071, 2112, and 2114);
 - e. Extortion and threats (sections 876 to 878);
 - f. Riots (section 2101);
 - g. Crime against a person (sections 111, 113, 114, 1111, 1112, 1114, and 2111.);
 - h. Assassinating, kidnaping, or assaulting any agency head or deputy (section 351).
 - i. Powers of marshals and deputies (section 3053).
 - j. Conspiracy (section 371); and
 - k. Counterfeit badge/identification (sections 499, 701, 911, and 912).
2. The Atomic Energy Act of 1954, as amended (42 U.S.C. 2011, et seq.)
 - a. Chapter 12, “Control of Information,” sections 141-146 (42 U.S.C. 2161 to 2166), which set forth the principles for the control of Restricted Data.
 - b. Chapter 14, “General Authority.”
 - (1) Section 161, “General Provisions” (42 U.S.C. 2201), which sets forth the authority necessary to perform the functions of DOE.
 - (2) Section 161k (42 U.S.C. 2201k), which provides statutory authority for DOE and contractor personnel to carry firearms and to make arrests without warrant.

- c. Chapter 18, "Enforcement."
 - (1) Sections 221 to 233 (42 U.S.C. 2271 to 2281), which set forth the authority necessary to protect Restricted Data and property, and establish criminal penalties for violation of the Atomic Energy Act.
 - (2) Section 229 (42 U.S.C. 2278a), which sets forth the authority to issue regulations and establishes penalties for violating these regulations relating to the entry upon or carrying, transporting, or otherwise introducing or causing to be introduced any dangerous weapon, explosive, or other dangerous instrument or material likely to produce substantial injury or damage to persons or property, into or upon any DOE property.
 - (3) Section 236, which makes criminal destroying or physically damaging DOE nuclear facilities or fuel, using or tampering with machinery to cause an unauthorized interruption of normal operations of such facilities, or attempting to commit any of these acts.
- 3. Title 42 U.S.C. 7270a, which provides statutory authority for DOE and contractor employees at the Strategic Petroleum Reserve to carry firearms and to make arrests without warrant.
- 4. Title 50 U.S.C., relating to Department of Defense security regulations and Orders and the penalty for violation (section 797).
- 5. Title 10 CFR Part 860, Trespassing on Department of Energy Property, which makes trespassing on posted DOE property criminal.
- 6. Title 10 CFR Part 1046, Physical Protection of Security Interests, which sets forth policies and procedures applicable to DOE contractor personnel and establishes their requirements for medical and physical fitness qualification, physical fitness training medical examination and certification, access authorization, and security training, qualification, and certification.
- 7. Title 10 CFR Part 1047, Limited Arrest Authority and Use of Force by Protective Force (PF) Officers, which establishes policy concerning arrests and associated use of force by DOE and contractor PF personnel assigned to protect nuclear weapons, SNM, classified matter, nuclear facilities, and related property.
- 8. Title 10 CFR Part 1049, Limited Arrest Authority and Use of Force by PF Officers of the Strategic Petroleum Reserve, which establishes policy concerning arrests and associated use of force by SPR PF personnel, and requirements for training and qualification to carry firearms.

9. Title 14 CFR Part 61, Certification: Pilots, Flight Instructors, and Ground Instructors, which prescribes the requirements for issuing pilot and flight instructor certificates and ratings, the conditions under which those certificates and ratings are necessary, and the privileges and limitations of those certificates and ratings.
10. Title 14 CFR 108.11, Carriage of Weapons, which provides requirements for the carrying of weapons aboard an airplane.
11. Title 14 CFR Part 135, Operating Requirements: Commuter and On-Demand Operations, which governs helicopter operations.
12. DOE O 232.1A, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION, of 7-21-97, which establishes a system for reporting occurrences related to DOE-owned or operated facilities and processing that information to provide for appropriate corrective action.
13. DOE O 440.2, AVIATION, of 9-25-95, which provides aviation requirements and responsibilities.
14. DOE O 440.1A, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, of 3-27-98, which establishes PF firearms program safety requirements and responsibilities.
15. DOE 5610.14, TRANSPORTATION SAFEGUARDS SYSTEM PROGRAM OPERATIONS, of 5-12-93, which establishes policy for and implementation of the management and operation of the Transportation Safeguards System program.
16. DOE M 440.1-1, DEPARTMENT OF ENERGY EXPLOSIVES SAFETY MANUAL, of 9-30-95, which provides information and guidance related to the safe use and storage of explosives.
17. DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM, of 9-28-95, which establishes requirements and responsibilities for the Safeguards and Security Program.
18. DOE O 471.2A, INFORMATION SECURITY PROGRAM, of 3-27-97, which establishes requirements and responsibilities for the protection of classified and sensitive information.
19. DOE O 472.1B, PERSONNEL SECURITY ACTIVITIES, of 3-24-97, which establishes requirements and responsibilities for the Personnel Security Program and the Personnel Security Assurance Program.

20. DOE M 473.2-1, FIREARMS QUALIFICATION COURSES MANUAL, of 7-8-97, which provides standardized courses of fire to ensure that all PF personnel authorized to carry firearms under 42 U.S.C. 2201k or 42 U.S.C. 7270a are consistently qualified.
21. DOE 5632.1C, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, of 7-15-94, which establishes policy, requirements, and responsibilities for the protection and control of safeguards and security interests.
22. DOE M 5632.1C-1, MANUAL FOR PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, of 7-15-94, which provides detailed requirements to implement DOE 5632.1C.
23. *Design Basis Threat for Department of Energy Programs and Facilities (U)*, of 4-12-99, issued by the Director, Office of Security Affairs, which identifies and characterizes the potential generic adversary threats to the DOE programs and facilities which could adversely impact national security, the health and safety of employees, the public, or the environment.
24. General Records Schedules, Schedules 11, 18, 20, and 23 of National Archives and Records Administration; and DOERS, as applicable.
25. National Security Decision Directive-281, CLASSIFIED TITLE, of 8-27-87, which codifies policies for national nuclear command and control operations.
26. Presidential Decision Directive-39, U.S. COUNTERTERRORISM POLICY, of 6-21-95, which establishes policy, requirements, and responsibilities to deter, defeat, and respond to terrorist attacks on U.S. territory and resources, both people and facilities.
27. Public Law 106-65, National Defense Authorization Act for Fiscal Year 2000; Title 32, which establishes the policy, requirements, and responsibilities for the National Nuclear Security Administration.
28. DOE N 473.1, Carrying of Semiautomatic Pistols with a Round in the Chamber, of 10-28-99, which establishes the requirements for DOE PF who carry a semiautomatic pistol to have a round in the chamber.
29. DOE N 473.2, Standardization of Firearms, of 3-02-00, which establishes requirements for the standardization and limitations of DOE PF firearms inventories maintained in support of safeguards and security activities.
30. DOE N 473.3, Standardization of Chemical Protective Equipment for PFs and Special Agents, of 3-29-00, which establishes requirements for the standardization and procurement of chemical protective equipment for use by DOE PFs and Special Agents.

ATTACHMENT 2

GUIDELINES FOR FRESH PURSUIT

1. PURPOSE. The purpose of these guidelines, which have been approved by the U.S. Attorney General, is to set forth the procedures to be followed by Department of Energy (DOE) Federal and contractor Protective Force (PF) personnel, when pursuing suspected criminals across jurisdictional lines.
2. POLICY. It is DOE policy to prevent the escape and effect the arrest of fleeing suspected criminals in a safe and expeditious manner. The following procedures are intended to provide protective personnel with flexibility when in fresh pursuit of a fleeing suspected criminal. Each site must prepare site-specific guidelines that take into account the geography, equipment, and functions of the facility/site and that address procedures to be used to provide emergency notification to jurisdictions that may be entered in a fresh pursuit situation. The manager of the DOE Field Element must submit the guidelines through the cognizant LPSO/Administrators, NNSA, to the Director, Office of Security Affairs (OSA), for approval.
3. DEFINITIONS. The following definitions are applicable to this attachment.
 - a. Felony. Any offense enumerated in Title 10 CFR, section 1047.4(a)(1)(i), as well as any offense constituting a felony under the laws of the jurisdiction in which the facility is located and with respect to which a PF would have arrest authority under 10 CFR 1047.4(d) and (e).
 - b. Fresh Pursuit. Pursuit (with or without a warrant) for the purpose of preventing the escape or effecting the arrest of any person who commits a misdemeanor or felony or is suspected of having committed a misdemeanor or felony. Fresh pursuit implies pursuit without unreasonable delay but need not be immediate pursuit. (Although fresh pursuit implies pursuit without unreasonable delay, for the purpose of preventing the escape or effecting the arrest of fleeing suspected criminals who are in unauthorized control/possession of nuclear weapons, weapons components, and/or SNM, such pursuit must be effected immediately.)
 - c. In the Presence of. The criminal act must have taken place in the physical presence of (under the observation of) the PF officer. A PF officer is authorized to make an arrest for any misdemeanor listed in 10 CFR 1047.4(a)(1)(ii) if the offense is committed in the presence of the PF officer.
 - d. Jurisdictional Lines. For the purposes of these guidelines, must include, but are not be limited to, the property lines of a DOE facility/site.

- e. Misdemeanor. Any offense enumerated in 10 CFR 1047.4(a)(1)(ii), as well as any offense constituting a misdemeanor under the laws of the jurisdiction in which the facility is located and with respect to which a PF officer would have arrest authority under 10 CFR 1047.4(d) and (e).
- f. PF Officer. As defined in 10 CFR 1047.3(g), any person authorized by DOE authority to carry firearms under section 161k of the Atomic Energy Act.
- g. Reasonable Grounds to Believe. At the moment of arrest, either the facts and circumstances within the knowledge of the PF officer, or of which the PF officer had reasonably trustworthy information, were sufficient to cause a prudent person to believe that the suspect had committed or was committing the offense. A PF officer is authorized to make an arrest for any felony listed in 10 CFR 1047.4(a)(1)(i) if the offense is committed in the presence of the PF officer or if the PF officer has reasonable grounds to believe (e.g., information from another PF or law enforcement officer, communications from a PF dispatcher or central alarm station operator) that a suspect had committed or was committing a felony.

4. AUTHORIZED PURSUIT ACROSS JURISDICTIONAL LINES.

- a. Misdemeanors. A PF officer may engage in the fresh pursuit of a suspected misdemeanant across jurisdictional lines only if the alleged misdemeanor was committed, or is being committed, in his/her presence. If the alleged misdemeanor was not committed in the presence of a PF officer, PF officers must not pursue the suspected misdemeanant across jurisdictional lines. Instead, the PF officers must attempt to obtain a description of the suspected misdemeanant, as well as a description and license tag number of any vehicle being used by the suspected misdemeanant, and must convey this information (in accordance with the specific notification procedures issued by the manager of the DOE Field Element) to the State and other local law enforcement authorities for the jurisdiction into which the suspected misdemeanant has fled.
- b. Felonies. PF officers may engage in the fresh pursuit of a suspected felon across jurisdictional lines if—
 - (1) the alleged felony is being committed, or was committed, in the presence of a PF officer or
 - (2) any PF officer has reasonable grounds to believe that the person pursued is committing, or has committed, the alleged felony.

5. FRESH PURSUIT PROCEDURES.

- a. Responsibility. Responsibility for decisions respecting fresh pursuit must follow the PF command structure. In making fresh pursuit decisions, PF officers must consider applicable Federal and State laws; DOE directives, guidelines, and regulations; and PF plans, POs, GOs, guidelines, and training.
- b. Safety Considerations.
 - (1) Safety is a primary consideration when engaged in fresh pursuit of a suspected criminal. In determining whether to pursue, as well as the method and means of pursuit, a PF officer will weigh the seriousness of the alleged offense and the necessity for immediate apprehension against the risk of injury to himself/herself, other PF officers, and the public. If at any time during the pursuit the risk of injury to pursuing PF officers or the public surpasses the necessity for immediate apprehension, the pursuit must be terminated.
 - (2) PF officers will use the minimum force necessary under the circumstances to apprehend a suspected criminal.
 - (3) The use of physical and/or deadly force in a fresh pursuit situation, regardless of whether jurisdictional lines have been crossed, must be in strict conformance with 10 CFR 1047.6 and 1047.7 and other requirements applicable to the use of force on DOE facilities. Such use may include, as appropriate, firing at or from a moving vehicle, aircraft, or water craft; the ramming and disabling of pursued vehicles by precision immobilization techniques (PIT); and the use of tire deflating devices. Such use is only appropriate when a pursuit situation involves the attempted recovery of SNM under unauthorized control or to prevent adversary use of explosives against a DOE facility. The use of ramming/PIT techniques and tire deflating devices to terminate such a pursuit must be considered application of deadly force and must be in conformance with 10 CFR 1047.7.
 - (4) If hostages are present in a pursuit situation in which recovery of SNM is involved, the safety and welfare of hostages must be considered; however, due to the ramifications of unauthorized use of SNM to the national security, the public, and the environment, the hostages' presence must not deter or impact immediate pursuit and recovery of the SNM.

c. Vehicular Pursuit.

- (1) Vehicles used in fresh pursuit must be operated in as safe a manner as is practicable.
- (2) To the extent practicable, vehicles used must be “marked” and be equipped with visual and audible emergency equipment.
- (3) Vehicles occupied by non-PF personnel must not be used in fresh pursuit situations unless the situation mandates an immediate pursuit, and the extreme circumstances prohibit the occupant’s disembarkation.
- (4) The number of pursuing vehicles that cross a jurisdictional line should be limited to that necessary to provide sufficient personnel to deal with the situation. Under no circumstance should the number of pursuing PF officers be such that the facility is left without sufficient security protection.
- (5) There is an inherent danger associated with the use of roadblocks; thus, unless exigent circumstances mandate immediate apprehension of the suspected criminal, PF officers generally must not attempt roadblocks without the authorization of the appropriate law enforcement officials of the jurisdiction entered and must not be use roadblocks to apprehend suspected misdemeanants. Under no circumstances will a roadblock be used without the concurrence of the supervisor of the pursuing PF officers.
- (6) There is an inherent danger associated with the use of ramming/PIT and tire deflating devices; thus, unless exigent circumstances mandate immediate disabling of the suspect vehicle (i.e., unauthorized control of SNM, possession of explosives), PF officers generally must not attempt ramming/PIT or use tire deflation devices without the authorization of a PF supervisor. However, such authorization is not required when requesting such authorization may effect the timely termination of the pursuit. Ramming/PIT must not be used to apprehend suspected misdemeanants. Specific guidelines regarding the use of ramming/PIT and tire deflation devices in fresh pursuit situations must be developed and approved by the manager of the Field Element. Guidelines for the use of ramming/PIT and tire deflation devices must be included in the site-specific guidelines submitted by the manager of the Field Element to the Director, OSA, for approval.

d. Aerial Assistance. Where DOE has aerial capability (e.g., helicopters, fixed-wing aircraft), specific guidelines regarding the use of aircraft in fresh pursuit situations, including pursuit, observation, reporting, and deployment of response forces, must be

developed and approved by the manager of the Field Element, in coordination with appropriate State and other local officials. Such aerial pursuit guidelines must be included in the site-specific guidelines submitted by the manager of the Field Element to the Director, OSA, for approval.

- e. Water Craft Assistance. Where DOE has waterborne capability, specific guidelines regarding the use of water craft in fresh pursuit situations, including pursuit, observation, reporting, and deployment of response forces, must be developed and approved by the manager of the Field Element in coordination with appropriate State and other local officials. Such water craft pursuit guidelines must be included in the site-specific guidelines submitted by the manager of the Field Element to the Director, OSA, for approval.
- f. Communications.
 - (1) At all times during a fresh pursuit situation, the PF officers involved must make every attempt practicable to maintain open communications and to relay as much factual information as possible to the PF dispatcher.
 - (2) Upon the engagement of a fresh pursuit situation, the PF dispatcher must immediately notify supervisors in the PF command structure and the officer in charge of on-site PF operations.
 - (3) When it becomes apparent to the pursuing PF officers that jurisdictional line(s) might be crossed, this information must be transmitted immediately to the law enforcement authorities of the jurisdiction to be entered in accordance with the site-specific emergency notification procedures. To the extent possible, such notification must include a description of the fleeing suspect and/or vehicle, the alleged criminal violation for which the suspect is being pursued, and the location and direction of travel of the suspect.
- g. Coordination with Other Law Enforcement Authorities. When other Federal, State or other local law enforcement authorities with jurisdiction in the area into which the suspected criminal has fled join the pursuit, they must be primarily responsible for the continued pursuit.
 - (1) The PF dispatcher, supervisors in the PF command structure, and the officer in charge of on-site PF operations must coordinate the pursuit efforts of PF officers with other Federal, State, and/or other local law enforcement authorities who assume primary responsibility.

- (2) PF officers participating in the pursuit must continue to participate in pursuit operations until otherwise instructed by the PF dispatcher, respective supervisors in the PF command structure, or the officer in charge of on-site PF operations.
- (3) At least one PF officer unit will remain available to assist the other pursuing Federal or State and other local law enforcement authorities until the pursuit is concluded or otherwise terminated. That PF officer will thereafter provide such law enforcement authorities with all relevant information regarding the circumstances surrounding the incident.

h. Arrests.

- (1) When other Federal law enforcement authorities [e.g., Federal Bureau of Investigation (FBI) or United States Marshal] are involved with PF officers in the apprehension of a suspected criminal (regardless of whether on or off DOE property), PF officers must relinquish arresting authority to the other Federal law enforcement authorities.
- (2) When State or other local law enforcement authorities are involved with PF officers in the off-site apprehension of a suspected criminal, the issue of which law enforcement official is in charge in order to effect an arrest is generally not a matter of policy but one of common sense dictated by the circumstances. Such an assessment includes an evaluation of the expertise of those present; which agency has first established control; and the disruptive effect, if any, of transfer of control. The determination of which jurisdiction should make the arrest is, therefore, left to the discretion of the officers involved. To the extent practicable, guidelines addressing this issue should be prepared on a site-by-site basis in coordination with State and other local law enforcement authorities. Such guidelines must be included in the site-specific guidelines submitted by the manager of the Field Element to the Director, OSA, for approval.
- (3) When a suspected felon is apprehended (regardless of whether on or off DOE property), or when a suspected misdemeanor is apprehended on DOE property, the PF officer must immediately notify the appropriate U.S. Attorney's Office and escort the suspect to the nearest U.S. District Court or U.S. Magistrate for arraignment (unless otherwise directed by local Federal law enforcement authorities; e.g., the FBI or a U.S. Marshal). Under no circumstances must a suspected felon be removed to another jurisdiction without first being processed through the Federal criminal justice system where the suspected felon was apprehended.

- (4) The pursuing PF officers must ensure that any Government property retrieved during pursuit or at the time of apprehension is properly secured and a chain of custody is established.

CONTRACTOR REQUIREMENTS DOCUMENT

DOE M 473.2-2, PROTECTIVE FORCE PROGRAM MANUAL

This Contractor Requirements Document is issued to identify requirements applicable to contractors. All requirements in DOE M 473.2-2, PROTECTIVE FORCE PROGRAM MANUAL, apply to contractors that have responsibilities for administering the DOE Protective Force Program for the purpose of protecting safeguards and security interests. The requirements in this Manual must flow down to all subcontractors that have responsibilities for administering the Protective Force Program for the purpose of protecting DOE safeguards and security interests.

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE M 473.2-2 Chg 1

Approved: 06-30-00
Chg 1: 12-20-01

SUBJECT: PROTECTIVE FORCE PROGRAM MANUAL

1. PURPOSE. To transmit revised pages to DOE M 473.2-2, *Protective Force Program Manual*.
2. EXPLANATION OF CHANGES. To provide clarification in area identified during a comprehensive review of protective force policies. The changes will ensure the policies are consistent, clear, and concise.
3. FILING INSTRUCTIONS.

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
Chapter IV, Page 9	06-30-00	Chapter IV, Page 9	12-20-01
Chapter IV, Page 11	06-30-00	Chapter IV, Page 11	12-20-01
Chapter IV, Page 12	06-30-00	Chapter IV, Page 12	12-20-01
Chapter VI, Page 3	06-30-00	Chapter VI, Page 3	12-20-01
Chapter VI, Page 4	06-30-00	Chapter VI, Page 4	12-20-01
Chapter VI, Page 8	06-30-00	Chapter VI, Page 8	12-20-01

After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



FRANCIS S. BLAKE
Deputy Secretary

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Security